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LOYOLA UNIVERSITY CHICAGO

LEADERSHIP AND ORGANIZATIONAL CHANGE:  
AN EXAMINATION OF SUPERINTENDENTS

A DISSERTATION SUBMITTED TO  
THE FACULTY OF THE GRADUATE SCHOOL  
IN CANDIDACY FOR THE DEGREE OF  
DOCTOR OF PHILOSOPHY

DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDIES

BY  
THERESA M. SAK

CHICAGO, ILLINOIS

JANUARY 1995

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## **CHAPTER I**

### **INTRODUCTION**

Superintendents are the organizational leaders of school districts. As such, they are responsible for the achievements of their districts. "To a great extent, the quality of America's schools depends on the effectiveness of school superintendents" (AASA, 1993, p. 3). Bennis (1989) pointed out that "The success or failure of all organizations, ..., rests on the perceived quality at the top" (p. 15).

The study of leadership remains an eternal quest. If one surveys the coursework necessary for administrators or executives in the public or private sector, one can surely find at least one course that speaks to leadership. Books and articles abound on the topic. With the 1993 Illinois Five plus Five legislation permitting early retirement to educators, more than the expected number of administrators are and will be leaving school districts in Illinois within the time frame of 1993 - 1995. The American Association of School Administrators (1993) reports that during the next ten years, nearly 50 percent of America's 13,800 school superintendents will retire. That is a considerable loss of experience at the superintendency level. This is happening when society and schools are going through rapid changes and are in dire need of leadership. The American Association of School Administrators (1993) noted,

The superintendency requires bold, creative, energetic, and visionary school leaders who can respond quickly to a myriad of issues ranging from dealing with social changes, diverse student populations, and demands for equity, to improving school quality for every child and making effective use of new technologies. (p. 3)

The purpose of this research was to discover the organizational changes, conceptualizations, and beliefs of effective superintendents during their experiences with organizational changes within

their school districts.

One challenge of leadership today is working with organizational change. Change in the 1990's is accelerating at a record pace. "The futurists report that in the fifty years between 1970 and 2020 we will experience change equivalent to that of the last 500 years!" (Bethel, 1990, p. 85). This leaves leadership with definite challenges in assisting their organizations to respond in appropriate fashion to meet the demands of change. As Lewis (1993) pointed out, "Today, the world is changing in the way our institutions function, requiring leaders to assess their strengths and understand what qualities they need to guide their institutions effectively" (p. 3).

Why bother worrying about the dynamics of change? Of what value is managing change to a leader? Of what value is managing change to an organization? Bennis (1989a) answered those questions this way:

Learning to lead is, on one level, learning to manage change. As we've seen, a leader imposes (in the most positive sense of the word) his philosophy on the organization, creating or recreating its culture. The organization then acts on that philosophy, carries out the mission, and the culture takes on a life of its own, becoming more cause than effect. But unless the leader continues to evolve, to adapt and adjust to external change, the organization will sooner or later stall. (p. 145)

As all organizations, the educational organizations of today are in a constant state of change. The educational organization called school is having to confront changes of great magnitude; changes that are shaking the very foundations of our previous experiences with schools--greater student diversity and mobility, increasing expectations for student achievement, new technologies, etc. It is enough to throw up one's hands up in disgust and quit. However, the time for leadership is now. From another trying time, a letter penned to Thomas Jefferson from Abigail Adams exhorts, "These are the hard times in which a genius would wish to live...Great necessity calls forth great leaders (Bennis, 1989a, p.189)."

Understanding organizational change can help leaders as they move through these trying and shaky times. In schools, it is important to the students served daily. It is also

important to the rest of the nation. Today's students will grow and assume their role in the natural order becoming the adults that will, in turn, enable change to occur and continue the growth of this nation and that of the world.

### **Purpose of the Study**

In the broadest sense, the purpose of this study was to examine leaders who exercised leadership during organizational change through their role as chief executive officer of their organizations; specifically, as the superintendent of a public school district. Superintendents of three suburban northern Illinois elementary school districts were selected for the study. These selected superintendents were identified as effective superintendents through state or national recognition, such as the Illinois Those Who Excel award, the Illinois Superintendent of the Year, or a finalist for the National Superintendent of the Year. This study examined these selected superintendents' conceptualizations as they related to organizational change.

As daily practitioners in the change process, specifically, this study asked how do superintendents conceptualize organizational change. As Michael Fullan (1990) stated, "The basic question is how to get good at change" (p. xiii). The research questions revolved around this quest:

- (1) What conceptualizations of organizational change are held by effective superintendents?
- (2) What factors do effective superintendents pay attention to when working with the district staff and community on organizational change?
- (3) What actions do effective superintendents take to promote change within their organizations?

Answers solicited from the vantage points of practicing superintendents provided insights for the effective implementation of organizational change. As educational institutions face the demanding changes of the future, such insights can help current and future practitioners to meet the challenges of organizational change.

The rationale behind this study is noted in the statement from Max DePree (1992) in

Leadership Jazz. He noted, "The work of bringing about change is a leader's work" (p. 143). DePree (1992) strongly proposed that: "Leadership can never stop at words. Leaders must act, and they do so only in the context of their beliefs. Without action or principles, no one can become a leader" (p. 6).

Current writers of leadership such as Deal (1991) and Stephen Covey (1991) discuss often the role of the leader's conceptualizations through the leader's beliefs, assumptions, and principles in shaping vision in leadership. Max DePree (1992) noted the following:

Leadership is, as you know, not a position but a job. It's hard and exciting and good work. It's also a serious meddling in other people's lives. One examines leadership beginning not with techniques but rather with premises not with tools but beliefs, and not with systems but with understandings. (p. 7)

The literature is replete with discussions of leadership. As leadership relates to organizational change, one finds readings under the titles of restructuring, reform, transformation and the change process both in education and in business. Approaching the Twentieth-first century, the call for leadership becomes louder. Change is an ever-present phenomenon in life and leaders who can best assist their organizations, are those who can manage the uncharted waters of the future. As Gelatt (1993) pointed out, "Why are psychologically normal people overwhelmed by change after years of colliding with it? Change itself has changed: It has become so rapid, so complex, so turbulent, and so unpredictable that it is now called 'white water change'" (p. 10).

Sarason (1990) pointed out the need for leadership in organizational change through his statement,

I do not expect leaders of complex organizations, of which a school system is but one example, to get very involved in every effort at change. But when the change is obviously major, a challenging alternative to the status quo, one that asks of people that they change their thinking and practice, that change requires the leader to go beyond pronouncement and blessings. (p. 106)

Fullan (1991) further noted, "If a healthy respect for and mastery of the change process does not

become a priority, even well-intentioned change initiatives will continue to create havoc among those who are on the firing line” (p. xiii).

The literature that formed a foundation for this study suggests that successful, effective leaders have commonalities and conceptualizations of leadership regarding change and such ideas ensure the success of an organizational change effort.

### **Definition of Terms**

(1) Change - The act, process, or result of changing.

(2) Elementary District (Illinois) - A school district servicing the grade levels of pre-school/Kindergarten through eighth grade students.

(3) Organizational change - Change within the organization that will fundamentally alter previous structures, relationships, and the organization itself. Organizational change extends beyond one classroom teacher or one individual.

(4) Superintendent - Chief Executive Officer of a school district charged with the administration of schools under the direction of the board of education.

### **Significance of the Study**

This study focused on three northern Illinois elementary school district superintendents who were recognized as effective superintendents. The study focused on the conceptualizations held by them and actions taken relative to organizational change within their districts. Change is a complex phenomenon. In any change effort, there are a multitude of interactions and considerations when initiating and implementing a change.

By studying and learning from these practicing superintendents' conceptualizations, administrators new to the superintendency as well as other administrators in charge of organizational change efforts can benefit. Understanding organizational change can also assist aspiring administrators as they prepare to meet their responsibilities and as they move along in their careers. Preservice administrators can find it advantageous to learn how to better implement change.

Increased understanding of organizational change can help policymakers improve their efforts at facilitating change through their varying legislative and financial decision-making duties. For example, consider the recent Illinois legislation regarding the state-wide systemic change brought about by the School Accreditation Process. Previously, the accreditation process of schools was based only on their compliance with mandates--teacher certifications up to date, school boiler certificates being current, etc. Today, in Illinois, the focus of the new School Accreditation Process is on student achievement as well as mandate compliance. This is a significant organizational change throughout the state.

### **Limitations of the Study**

The study was conducted with three superintendents of suburban northern Illinois elementary school districts (grades PreK/K-8), recognized as effective superintendents by state and national organizations. The results may not apply equally beyond this narrow population, particularly high school districts (grades 9-12) or unit districts (grades PreK/K-12). The participants were volunteers; therefore, they can not be considered random. The selection process necessarily limited the external validity of the study.

### **Organization of the Study**

This introduction, Chapter I, reviewed the purpose of the study. The research questions were also posed. Chapter II reviewed the literature on changes occurring in current American society, leadership, and organizational change. Chapter III reviewed the pilot study and described the qualitative methods carried out in this study. Chapter IV presented the findings while Chapter V discussed the findings and reviewed the conclusions. Recommendations and questions for further study were also discussed.

## CHAPTER II

### REVIEW OF THE LITERATURE

#### **Setting the Context**

Why worry about change? It is an ever-present phenomenon. What makes today's times any different from those of bygone eras? Why should leadership, particularly educational leaders, concern themselves about organizational change? Of what importance are the changes taking place in American society to educational leaders?

Change is all about us. In Megatrends 2000, Naisbitt and Aburdene (1990) identified 10 megatrends that are already influencing our daily lives (p. 13). David Pearce Snyder and Greg Edwards (1992) have identified seven great realities for America in the 1990s (p. 2). Billings (1993) also points out that there are at least three different kinds of change: demographic, technological, and generational change (p. 17). These reports reflect the many changes that are occurring in society. Commonalities among these reports include changes in: technology, family structure, the global economy, and focus on the individual (Naisbitt and Aburdene, 1990; Snyder and Edwards, 1992).

In addition, consider that change is moving at a dizzying pace. Authors refer to the dizzying pace of change as that of permanent white water. These are indeed challenging times within which we are living.

Technology has shrunk the world in which we live. The computer "chip" and its resulting technology has penetrated the U.S. economy (Zuboff, 1988, p. 415). Global communication can take place in a matter of minutes. Information technology has become commonplace throughout our daily lives. Technological advances with resulting changes have profound implica-



tions for the field of education. The Information Age has begun sending educators as well as business and industry into a tailspin on how to organize, analyze, and synthesize the vast amounts of information available to all. Technological advances permit massive amounts of information such as an entire set of encyclopedias to be stored on a small disk such as the CD-Rom. Audio and visual presentations organized on a laser disk can bring newscasts or visual representations of actual events and figureheads into the classroom. American students can communicate with other students in a Japanese school across the world. The traditional classroom is taking on a different look.

In fact, technology could virtually eliminate the textbook as we know it today. Teaching can also significantly be altered. There no longer is a need for the teacher to act as the “sage on the stage.” “Instead, they (teachers) will be coaches who help children learn to access, sort and apply information. Teachers not only will learn and use new methods--they will create a different kind of relationship with their students” (Billings, 1993, p. 19). Also, add to those ideas the fact that the Information Superhighway, National Information Infrastructure (NII), is in today’s discussions by both government and industry.

No longer is the U.S.S.R. the feared competitor as it embarks on a new world order of capitalism. Palestine and Israel, mortal enemies, are now engaged in peace talks. The global picture is definitely changing. Also, the American social order is changing from what was known in the 1950s.

Societal changes in America are dramatic. Societal, economic, and demographic changes affecting children and education include: changes in the American family structure including increased numbers of one-parent families, increased poverty for more families, increased drug culture effects on children, and increased family stressors. Rising immigration rates also provide an impact on American society and in today’s classrooms. Max DePree (1992) notes, “Social change never stops. Perhaps never before has a society changed as much as ours has since the late 1950s” (p. 83).

There have been dramatic changes in the American family structure. Divorce, blended families, single-parent households, and two-income families are just some of the changes characterizing the American family of the 90s.

Richman (1992) points out that “The parents of nearly 2,750 (U.S.) children separate or divorce each day” (p. 2493). The percentage of single-parent families has more than doubled, rising from 11 percent in 1970 to 24 percent in 1990. (Bianchi, 1992, p. 48). Of the approximately 36 percent of American families of married couples with children, an increasing number of those are blended families (Christian Science Monitor, 1992, p. 8).

Barron (1992) points out the increase in two-income families in 1991 growing to 48 percent of all families with children in the workforce (Barron, p. 789). Further, “Seventy-five percent of all American school-age children live in families where either both parents work or the sole parent works” (Bates, 1992, p. 6). This leads to some of these children being responsible for their own care for at least some part of the day. In the past 25 years, the amount of time that American parents are able to spend with their children has dropped by 40 percent, “...from thirty hours a week to just seventeen” (Galston, 1992, p. 11).

The current economy has not fared well with most Americans. The issue of poverty becomes more noticeable as one examines the number of American children who are affected.

In The State of America's Children, 1991, the Children's Defense Fund monograph points out that in 1989, of America's children under the age of 18, 19.6 percent lived in poverty. That number is even greater when one looks at American children under the age of 6 where 22.5 percent live in poverty (Galston, 1992, p. 12). Another social issue, out-of-wedlock U.S. births, approximately 26 percent of all U.S. babies born, “...has brought a corresponding rise in the number of poor single-parent families dependent on welfare” (Lurie, 1992, p. 4).

To the issue of poverty, add the societal issues of child abuse and neglect; children born exposed to crack, cocaine, HIV, and alcohol; and homelessness; and one sees a colossal challenge for anyone working with children today. Consider the following:

Every eight seconds of a (U.S.) school day, a child drops out. Every 26 seconds, a child runs away from home. Every 47 seconds, a child is abused or neglected. Every 67 seconds, a teenager has a baby. Every 7 minutes, a child is arrested for (a) drug offense. Every 36 minutes a child is killed or injured by a gun. Every day 135,000 children bring their guns to school. (Williamson & Hellison, 1992, p. 285)

Add the statistic, "A drug- or alcohol-exposed child is born every 90 seconds in...(the U.S.)...It is estimated 1 in 7 children lives in a home...with alcohol or drug...abuse problems" (Dodd, 1992, p. 7665).

To this social and economic milieu, add the rapid growth of immigration into the United States. The ethnicity of our nation is becoming ever increasingly more diverse. Under the 1986 Immigration Reform and Control Act, "...2.5 million aliens became permanent residents ... and another 400,000 of their immediate family members were allowed to stay under the Immigration Act of 1990" (Gallagher, 1992, p. 11). Consider also the estimated 3.3 million undocumented aliens living in this country as reported by the 1990 census. With the recent legislation and borderhopping, some 800,000 people are expected to enter the United States annually (Bremner, 1992, p. 29).

Immigration has a definite impact on the nation's school systems. Mandel points out that,

In Los Angeles, 39% of the city's students don't speak English well, and in Seattle, 21% come from homes where English is not the family's first language. In the nation's capital, the school system is nearly overwhelmed by a huge number of Vietnamese, Haitians, and Salvadoran children. (Mandel, p. 120)

Most definitely, change is about us--all about us. Change is about us on the home front and on the global front. Change is interwoven into every fabric of our society--greater technology, a closer world order, change of the family structure, children born needing more medical and social services due to parental substance abuse, and increased ethnic diversity--all are changes that American society faces. All are changes that the American educational system faces daily.

Add to that the change in the economic structure of the world. No longer are business and industry looking for a few bright students and a larger semiskilled and unskilled laborer as in the Industrial Age. Today business and industry need more capable students to deal with the Information society in which we live. Today, information is the trade of commerce. The Hudson Institute in its report, Workforce 2000, stated that in 1984, fewer than 25 percent of U.S. jobs required information handling skills--technical reading, professional writing, analytical reasoning, and computation. By the year 2000, the Institute is projecting that nearly 75 percent of all U.S. jobs will need information handling skills (Snyder & Edwards, 1992, p. 13).

“While unemployment (in the U.S.) has worsened for all major worker groups during the current recession, workers who produce goods continue to experience much higher rates of unemployment than those providing services” (Martin, 1992, p. 85).

### **The Need for Educational Change**

Within the above context, one can more clearly see the need for educational leadership being concerned about technology, societal, economic, and demographic changes. These changes directly affect the students who are the recipients of the educational enterprise.

There is greater concern over the results of the educational enterprise. The demands of the American workforce have definitely increased. Business and industry are calling for greater reform in the educational enterprise called schooling. Initially, employers complained that both high school and college graduates did not have the basic skills of reading and math necessary for the needs of the workplace.

Educators began to demonstrate by test scores and student projects that students had the basic skills. Business and industry then moved their complaints a level up and cited that the workforce needed employees who could think and could be in the continual process of learning (Edwards, 1992, p. 1).

Educational reports erupted on the scene in the last 10 years citing the ills of education. These reports such as A Nation at Risk: The Imperative for Educational Reform (1983), The

Carnegie's Forum (1986) A Nation Prepared: Teachers for the 21st Century and the National Governors' Association's (1986) A Time for Results called for radical reforms of the educational enterprise.

Are schools as poor as these reports describe? Consider these reports in light of Carl Glickman's (1993) statement:

Schools are in trouble. There are increasing numbers of ill-fed, ill-clothed, ill-cared-for children, whose constant condition in life is grim and hopeless poverty. ... The result has been strain, tension, and an inadequate response on the part of educators and schools. To put it simply, schools are as good, on the whole, as they ever were; the percentage of children who have health-related, emotional, and social problems has increased significantly; and many schools now do have a more difficult time successfully educating such children. In other words, expectations and challenges for American public schools to educate all children have been raised to a new level. (p. 5)

Since the launching of Sputnik in 1957, the American government and society looked to the schools as the vehicle of change. It was postured that America would then be able to compete with the Russians by changing its math and science curricula.

Moving to the 1990s, the pace of change continues to accelerate even more so due to the new technologies, including computers, videos, CD-Roms, virtual reality, and satellite telecasts. Change is all about us. DePree (1992) notes, "We are not free to choose to avoid dealing with change. The only thing to decide is how to deal with change once you create it yourself or once you find it staring you in the face" (p. 83). Sandra Lynne Schmutzler, superintendent of Matteson School District #162, at the 1992 Illinois School Board Association meeting noted that "Successful organizations will be led by leaders who manage change rather than react to change."

### **Characteristics of Organizational Change**

This literature review will cite the various characteristics and strategies of organizational change. Change is a process, not an event. Change is a complex phenomenon and a process that occurs over a period of time; generally dependent on the magnitude of the change effort often being more than several years (Fullan, 1982, 1993; Havelock, 1973; Hord et. al., 1987; Rosenblum

& Louis, 1981; et. al.). Knowing that change is not accomplished through an event is important to the successful implementation of organizational change efforts. Business and industry also recognize that fact. Note the following comment:

Companies need a particular mind-set for managing change: one that emphasizes process over specific content, recognizes organization change as a unit-by-unit learning process rather than a series of programs, and acknowledges the payoffs that result from persistence over a long period of time as opposed to quick fixes." (Harvard Business Review, 1992, p. 231)

Change is accomplished by individuals. Therefore, attention must be focused on individuals and the role they play in the change process. As such, then, change is a highly personal experience. Individuals will react to a change in their own time and their own fashion. Since change is a highly personal experience, it will be successful when it is geared to the needs of each individual user (Hord, et. al., 1987, p. 6).

Change involves developmental growth. As individuals accept and use the change/innovation, they will pass through a series of developmental stages such as noted in the Concerns-Based Adoption Model (CBAM). These will be expressed by their skills and expressed feelings (Hord, et. al., 1987, p. 6).

Change is best understood in operational terms. Individuals will understand organizational change by how it affects and impacts them personally or professionally in their job; i.e., 'How will this affect me in my classroom?' 'How much more work and what other changes in routine will this change require from me or from my students?' (Hord, et. al., 1987, p. 6).

The focus of change facilitation should be on individuals, innovations, and the context. These three components all interact to allow or disallow change to occur. Focus should be on the individual. The innovation, therefore, can never be neatly packaged and successful implementation expected to occur. Without the individual's effort and willingness to facilitate the innovation, very little meaningful change will occur. "The real meaning of any change lies in its human, not its material, component" (Hord et. al., 1987, pp. 6-7).

Through other readings about change, still other ideas about the change process

emerge; including, administrative support and approval are needed for change to occur. Even with teacher empowerment, the administrator needs to garnish resources and enable roadblocks to be removed in order for change to occur.

Developing a critical mass of support is just as important as developing administrative support. Change does not occur in a vacuum. For change to get through the challenges of redefining the status quo and group norms, there must be a critical mass of support; otherwise, the challenges become too great to surmount.

Someone must take responsibility for managing the change. Whether that be an individual, a committee, or a team doesn't matter; otherwise, without some entity taking the responsibility, the change will fall apart.

The bottomline for school change is to benefit students. Much of staff development has focused on improving teacher instructional strategies but little has been shown that it made a difference to students. This shows the immediate cause-effect relationship is not enough to make a difference. Fullan (1993) states,

Our knowledge of the change process, and insights into the dynamics of what makes for unsuccessful and successful change have become considerably sophisticated. At the same time, the problems and society have become more complex, which means that the change process has become more complex and intractable. We have learned that understanding even complex change processes is only half the battle. Doing something about it is far more of a challenge, which should occupy us for years to come" (ASCD, 1993 p. 131-2).

Senge (1990) also discussed the lack of a cause-effect relationship when he spoke about dynamic complexity, "when 'cause and effect' are not close in time and space and obvious interventions do not produce expected outcomes" (p. 365). Fullan (1993), in his recent work, Change Forces discussed the dynamic complexity of change as a new paradigm of change in the movement to a nonlinear system of change. In this work, Fullan described the new paradigm of change through eight basic lessons for which a brief review follows.

### **The Eight Basic Lessons of the New Paradigm of Change**

Lesson One: You Can't Mandate What Matters

Lesson Two: Change is a Journey not a Blueprint

Lesson Three: Problems are Our Friends

Lesson Four: Vision and Strategic Planning Come Later

Lesson Five: Individualism and Collectivism Must Have Equal Power

Lesson Six: Neither Centralization Nor Decentralization Works

Lesson Seven: Connection with the Wider Environment is Critical for Success

Lesson Eight: Every Person is a Change Agent (p. 21).

In Lesson One: You Can't Mandate What Matters, Fullan notes that the more complex the change, the less one can force a change. Changes can be mandated only if they do not require thinking or skills in order to accomplish the tasks and if they can be supervised with close monitoring. Taxes can be mandated, procedural matters, etc. can be mandated; instructional strategies where adaptations and constant decision-making takes place can not easily be mandated. Adoption of changes and then the eventual disappearance of the newest educational fads relate directly to this fact. Organizational changes that require thinking, skill development, and decision-making require work and commitment on the part of the involved parties. As Pascale (1990) notes, "ideas acquired with ease are discarded with ease" (p. 20).

Continuing, Lesson Two: Change is a Journey, Not a Blueprint, Fullan notes that there are many directions in which to move, many of which can not be determined until one is in the midst of the change. "Change is non-linear, loaded with uncertainty, and sometimes perverse" (Fullan, 1993, p. 24). With multiple innovations occurring at one time and with the many interacting variables of people, place, and history, and the resulting permutations each of these variables may cause, it is no wonder that there can be no step-by-step plan for change. One is unable to determine what is actually important until one is in the throes of the actual change process.

Lesson Three: Problems are Our Friends served to highlight that organizational changes bring about varying issues. Inevitably, problems will surface. Just the many different interpreta-



tions or meanings of a proposed change can function as a problem. Also, interfacing the proposed organizational change within the current organizational structures can elicit another set of problems. Problems function as opportunities to work out creative solutions and learn from the changes that are occurring. In organizations where problems are not embraced and worked through, minimal organizational change occurs and is often abandoned. Change requires a learning process where effort and conflict are necessary.

In reviewing Lesson Four: Vision and Strategic Planning Come Later, Fullan pointed out that people within the organization must build experiences to develop the ownership it takes to commit to a particular organizational change. No one person can positively predict the journey or path a particular change will take. It is in the process of developing the fit of the change to the organization that people develop a sense of how that change can improve that particular organization, within that particular period of time, and with that particular composition of people and resources. Fullan (1993) noted that Peters' and Waterman's concept, "Ready, fire, aim!" as the correct sequence to facilitate effective organizational change (p. 31). Fullan further noted, "As people talk, try things out, inquire, re-try--all of this jointly--people become more skilled, ideas become clearer, shared commitment gets stronger. Productive change is very much a process of mobilization and positive contagion" (p. 31).

In Lesson Five: Individualism and Collectivism Must Have Equal Power, Fullan notes that there is equal importance to the thinking of the individual as well as that of the group. There are perils to overcontrol by either the individual or the group. He points that each must be considered to strike the balance that, in turn, will yield the greatest overall benefits to organizational change.

The concept of individualism leads to the comments of isolation that are often discussed about the teaching profession. The disadvantages of such isolation can be greater resistance to changes in teaching practice, reactions of defensiveness to criticism, closed thinking about changes, and hoarding of resources. The positive side of individualism is the creative and critical thinking of diverse individuals, the reflection that occurs in solitude, and the capacity to work alone.

When looking at collectivism, there is a danger of subscribing to “group-think” - “uncritical conformity to the group, unthinking acceptance of the latest solution, and suppression of individual dissent” (Fullan, 1993, p. 34). This poses the problem of blindly jumping on the latest bandwagon or newest fad with little or no critical discussion. This is one reason why educational change deservedly acquired such a bad reputation.

Divergent ideas can also be narrowed as people become closer alike in their thinking, such as seen in tightly-knit cliques or closed societies. In order to deal with variety outside the organization, there must be diversity within the organization which Fullan cites as the law of requisite variety (1993, p. 35). For survival, some mechanism for questioning the status quo must exist within the organization as it contends with the daily changes outside the organization.

Fullan notes this paradox of honoring the opposites of individualism and collectivism simultaneously as critical. For the organization to prosper and work within this era of whitewater change, both individualism and collegiality must be recognized.

Fullan notes in Lesson Six: Neither Centralization Nor Decentralization Works, that neither top-down nor bottom-up strategies by themselves will work over the long term. The bureaucratic structure where the top controls is an illusion. Schools are dynamic and complex organizations. People may pay the necessary lip-service to avoid notice and possible retribution but meaningful and lasting organizational change can not occur through a mandate exclusively.

The superintendent, administrative team, and the teaching staff need each other. Each brings to the table talents and resources which will enable both to achieve their goals. Goldring and Rallis (1993) note that in dynamic schools, the partnership between central office and school sites can be mutually beneficial (pp. 57-66).

Continuing with Lesson Seven: Connection with the Wider Environment is Critical, Fullan (1993) notes, “The best organizations learn externally as well as internally” (p. 38). Organizations usually do well in learning within their own environment. However, they must, in order to survive, work to see what is going on outside their glass bubble. It is the biological concept of

adaptivity to the environment. The dinosaurs of old did not adapt to the environment and eventually died while the bottle-nosed dolphin becomes adaptive to the environment seeking its food sources in different ways in different areas of the country (Garmston and Wellman, 1993).

With the final lesson, Lesson Eight: Every Person is a Change Agent, Fullan (1993) states that “Change is too important to leave to the experts” (p. 39). This aligns with the recent work by Gifford and Elizabeth Pinchot (1993). With the complexity of change and the world in which we live today, they state that organizations can no longer afford to rely only on the intelligence of the hierarchy at the top or count on the bureaucracy to save the day (1993, pp. 29-38). The Pinchots' work describes “intelligent organizations” where the intelligence of all employees is utilized. Noting still another look at leadership and change in the literature, DePree (1992) notes that “Implementing change, like leadership and like music, is more an art than a science” (p. 146). DePree (1992) notes several guidelines (pp. 146-7):

- 1) Leaders are visible.
- 2) Leaders understand the context in which people work.
- 3) A leader's actions incarnate an organization's beliefs and values.
- 4) Lavish communication is crucial.
- 5) The right of scrutiny belongs to each participant.

### **Summary**

The world of the 1990s is in an era of rapid and unpredictable change. Technology, social, economic, and demographic conditions all contribute to the complexity of change. Schools face a challenge as they deal with the effects of these varying changes. Students are more needy, whether those needs be language, cultural, economic, or medical. Business and industry are looking for future employees who are continual learners, can work cooperatively, and can engage in team problem-solving.

Various characteristics and strategies of change from current literature were reviewed. Lasting organizational change is a process and takes time. Even our organizational struc-

tures are changing causing us to review organizational change in new ways.

Superintendents, as the chief executive officers of their school districts, must provide the leadership necessary to promote meaningful organizational changes. How do practicing, effective superintendents conceptualize organizational change? What are the factors they must pay attention to when moving their respective districts through change? From their conceptualizations, what actions do they take to successfully move their districts through the uncharted waters of a proposed organizational change? Finding those answers was the purpose of this study.

## **CHAPTER III**

### **METHODOLOGY OF THE STUDY**

#### **Introduction**

Illinois is experiencing a great number of retirements among its superintendents due to the 1993 Early Retirement Incentive, commonly called Five Plus Five. As we approach the 21st century, this is a time of rapid and continual change. Organizations in business and industry are transforming and restructuring themselves to better meet the needs of a global economy. Educational organizations are also in the throes of restructuring as they confront the increasing challenges of American society--poverty, immigration, and technology--and work to meet the needs of a new era, the Information Age, and a democratic society. Administrators new to the superintendency will have great need for an understanding of organizational change and strategies that can facilitate that change within their organizations.

The purpose of this study was to find out how three identified effective northern Illinois elementary school superintendents conceptualize, manage, and facilitate organizational change. This study was designed to address three research questions:

- (1) What conceptualizations of organizational change are held by effective superintendents?
- (2) What factors do effective superintendents pay attention to when working with the district staff and community on organizational change?
- (3) What actions do effective superintendents take to promote change within their organizations?

As daily practitioners in the change process; specifically, this study asked what do

superintendents think about and do when initiating and carrying out organizational change.

This qualitative study was designed to better elicit and understand complex interactions and discover hidden conceptualizations as the superintendents worked to facilitate organizational change. The purpose behind using qualitative research methods; specifically, grounded theory research, was to extract relevant categories and the possible relationships that arose from them or to reorganize the categories in some new but functional manner. The purpose had as its destination, a clear desire to improve practice. The study's intent was to elicit the patterns and themes which can provide a framework for action.

This study used the qualitative technique most frequently associated with the development of grounded theory. Grounded theory is that which is "inductively derived from the study of the phenomenon it represents" (Strauss & Corbin, 1990, p. 23). The grounded theory approach originated from the work of Barney Glaser and Anselm Strauss. They believed that theory derived from such research could prove beneficial for both professional and lay people. It was the plan of this researcher that this study move beyond mere description of the data to the development of conceptualizations, relationships, themes, and patterns elicited from the acquired data.

### **Design of the Study**

This was a qualitative study, following the traditions of naturalistic inquiry. Systematic in nature, the inquiry occurred through the interactive interviewing process between each of the participants and the researcher. This qualitative research design was selected to solicit the conceptualizations, factors considered, and actions behind a superintendent's facilitation of organizational change. Through this design, there was a greater opportunity to elicit the depth of the superintendents' thinking and the richness of their individual perspectives. Strauss and Corbin (1990) noted, "Formulating theoretical interpretations of data grounded in reality provides a powerful means both for understanding the world "out there" and for developing action strategies that will allow for some measure of control over it" (p. 9). The superinten-

dents' own thoughts and perceptions served as the data for this study.

Naturalistic research designs are “emergent” (Lincoln and Guba, 1985); that is, there are opportunities for shifts in data collection as the need for more descriptive data become apparent, categories emerge, and verification is sought.

### **Participant Selection and Description**

Information was solicited from a series of three semi-structured interviews with three selected superintendents who were designated as effective superintendents due to their recognition through state and/or national awards. This study focused on the conceptualizations of organizational change by three identified effective superintendents, in comparably-sized selected public school districts in northern Illinois, specifically, in Cook and DuPage Counties. The Illinois State Board of Education was contacted to solicit a list of the Those Who Excel recipients and Superintendent of the Year recipients initially. From those lists, superintendents were selected who were in the northern Illinois area (above Interstate 80). The superintendents chosen for the study met the following criteria.

- (1) Districts were somewhat comparable in size and were of a similar category. Those superintendents selected had a minimum of six buildings and were of a similar category; namely, an Illinois elementary public school district (grades K-8) in suburban northern Illinois.
- (2) they had provided effective leadership to their district determined by their recognition through nominations by their peers, board of education, or teacher association for awards and actual receipt of such awards, such as the Illinois Those Who Excel award or the Illinois and/or National Superintendent of the Year award.
- (3) the superintendents served within their current district for a minimum of five years and engaged in one or more organizational change effort(s) within the past five years. Organizational change efforts ranged from one large activity to several incremental efforts that supported each other to create organizational change.

(4) availability and willingness of the superintendent to engage in this study.

The names and sites of the superintendents and districts remain anonymous. The selected superintendents met the above criteria. The superintendents were from selected, medium-sized (2400 to 4500 students) suburban elementary school districts in northern Illinois (north of Interstate 80).

Each superintendent was initially contacted by telephone. The purpose of the study and their possible participation in the study was discussed. Superintendents were also contacted by letter noting the purpose of the study and documenting the assurance of anonymity in the study (Appendix A). The superintendents were interviewed over a two month span, from November 4 through December 27, 1993. The pilot interview was held on October 28, 1993. The interview schedule is noted in Appendix B and questions are noted in Appendix C. .

The superintendents ranged in their superintendency experience from six years to 22 years of experience. A common variable they shared was that all had been in the same district for their entire superintendency experience. Two of the superintendents interviewed were male; one was female.

Each superintendent administered a school district of medium size, consisting of six to seven buildings with student enrollment ranging from 2400 to 4500 students. Their student population was primarily Caucasian (83% to 96%) but each had shared through their interviews that their district's race/ethnicity was becoming more diverse.

To validate that organizational change(s) had occurred within the district, two key participants such as board members, administrators, and/or teachers were also interviewed. The selected superintendents were asked to provide the names of several people to provide the validation. From this list, two key participants were asked to describe the changes that had taken place and their general impressions of the superintendent's role in the changes. Notes were recorded from these interviews. The schedule of interviews appear in Appendix F. Questions asked of the key participants are shown in Appendix G. The key participants' anonymity was also assured.



## **Pilot Study**

The pilot study, conducted on October 28, 1993 explored the nature of the initial questions themselves. The pilot was run to simulate the actual study complete with audiotaped recording and transcription to allow the researcher to work out any technical difficulties prior to the actual study.

The initial questions were reviewed by a staff development consultant familiar with organizational change. The staff development consultant brought much experience to the study. She taught at the college level, consulted with varying districts, and served as a mentor for the National Staff Development Council's Academy for beginning staff developers.

A superintendent also responded to the initial interview questions. The superintendent in the pilot had been in the position for five years. His district had approximately 2500 students, falling within the range of the district size of this study. He had been involved in organizational change through his efforts with instructional initiatives with the science and math curricula, central office restructuring, and implementation of a strategic planning process with much community involvement. The purpose of this pilot was to validate the meaning and intent of the questions. It also allowed the researcher to begin the process of coding.

## **Data Collection**

The primary data collection techniques were a series of three semi-structured interviews conducted with three selected superintendents from northern Illinois suburban elementary school districts over a period of two months, November and December. This schedule met the needs of the interviewed superintendents. The purpose of the interviewing process was to solicit information on the superintendents' backgrounds, conceptualizations of organizational change, factors to which the superintendents paid attention, and subsequent actions when moving forward an organizational change. Further clarification was planned through follow-up phone calls but were minimally needed.

A contact summary sheet served as a data collection device (Appendix D). Written by the

researcher after each site visit, the researcher recorded any general impressions, main themes or issues discussed, and noted any speculations or hypotheses suggested by the contacted superintendent in his/her natural surroundings. This contact summary sheet also proposed possible new directions in which the researcher should investigate. These new directions evolved from the general impressions of the overall interview and were noted before the transcript was coded. The contact summary sheet also served to note any questions or inconsistencies the researcher noted for future follow-up.

Supplementary data collection also included a collection and review of relevant artifacts such as board documents, internal and external correspondence, and notes shared by the superintendents and were noted on the Document Summary form (Appendix E). Data was also secured through the interviews of the key participants and their insights into the role and actions of the superintendent in the identified change effort(s). Data was also secured through the interview process noting general background information such as years in the superintendency, district size, student achievement, etc.

The selected superintendents were interviewed for approximately one to three hours in length during each of the three interviews, dependent on the length and depth of the superintendents' responses. Identification of changes within the organization, the superintendents' perceptions of those changes, and their roles in the changes were reviewed. These interviews were audiotaped with transcripts sent to participants for accuracy of representation of their ideas and for clarification. Transcription of the audiotaped interviews was completed by a professional transcriptionist. Notes were also taken during the interview sessions by the researcher to capture external impressions, insights, or hunches that lead to subsequent interview sessions. Appendix B outlines the data collection schedule.

Following this initial interview, a second interview was constructed to pursue participants' responses in greater depth, with a focus on clarifying their conceptualizations about organizational change and the factors to which they paid attention. Participants were asked to

clarify the conceptualizations of the change process they held. Again, transcripts were given to participants for review and clarification.

Subsequent interviews asked participants to describe their change plan--what actions they had taken and the rationale for those actions. Transcripts were given to participants for review and clarification.

To achieve triangulation, a collection of several data sets was planned--the actual interviews of the superintendents, verification of changes taking place by identified key participants, collection and review of relevant artifacts, and recording the researcher's general impressions of each site visit through a contact summary sheet.

### **Data Analysis**

Analysis of the data had the possibility of bringing forth insights and explanations of the organizational change as implemented by a practitioner in the role of superintendent. The study pursued superintendents who achieved recognition as effective leaders. Participants were determined to be effective leaders of their organizations due to several variables--continued tenure within the district for five or more years and by achieving recognition in their role of superintendent through varying state and national awards, such as the Illinois Those Who Excel program or selection by the Illinois Association of School Administrators as Illinois Superintendent of the Year and selection by the American Association of School Administrators as one of the four finalists for National Superintendent of the Year.

The varying collected data was analyzed. Contact and document summary sheets were reviewed, audiotapes were played to secure general themes and impressions which were then converted to memos, and the audiotaped interviews were transcribed, coded and prepared for computer manipulation.

The data of words were "broken down, conceptualized, and put back together in new ways" (Strauss & Corbin, 1990, p. 57) through the coding process which symbolized explicit categories. Coding "is the central process by which theories are built from data" (Strauss &

Corbin, 1990, p. 57). The coding process is a feature of the constant comparative technique. The researcher chose this technique to assist in the development of themes and patterns.

These categories evolved from the initial data sets themselves, completed in a “grounded” context, rather than from a pre-organized list. The codes, in an effort to provide an effective organizing and retrieval mechanism, were then clustered into a larger conceptual structure based on larger categories derived from a variety of sources, including work in the field of change and general research. Grounded theory research uses a method of analysis called the constant comparative method.

The constant comparative method of analysis developed by Glaser and Strauss (1967) was used as the specific method of data analysis for this study. The constant comparative method allowed for the development of “grounded theory,” which according to Strauss and Corbin (1990), “...is inductively derived from the study of the phenomenon it represents” (p. 23). Strauss and Corbin (1990) also noted that “data collection, analysis, and theory stand in a reciprocal relationship with one another” (p. 23).

A coding scheme was developed to capture possible categories, patterns, and themes within the collected data. There are four stages to this method: “(1) comparing incidents applicable to each category, (2) integrating categories and their properties, (3) delimiting the theory, and (4) writing the theory” (Strauss and Corbin, 1990, p. 105). This method is a continuously developing process building on the previous step.

The unstructured, raw data was reviewed. “The first fundamental notion of information processing is that it is desirable to clear away all this clutter of data, producing out of it information, or raw facts that have been turned into useful facts” (O’Leary and Williams, 1986, p. 61) (Pfaffenberger, 1988, p. 40). Each field note was reviewed and a unit of analysis was determined and coded. The evolving units were then organized into tentative larger units called categories. A basic rule in the constant comparative method (Glaser & Strauss, 1967) was applied for each incident: “while coding an incident for a category, compare it with the previous

incidents in the same and different groups coded in the same category” (p. 106).

In time, properties of that category emerged such as dimensions of the category, conditions under which it is applicable, etc. Two kinds of categories emerged from the analysis; those of the researcher and those elicited directly from the language of the interviewees. When the researcher noted conflicts in coding, Glaser and Strauss (19967) recommended that the second rule of the constant comparative method come into play: “stop coding and record a memo on your ideas” (p. 107). This allowed the researcher to ground the thinking in the data and worked against pure speculative thoughts. Such analytic memoranda also served as a mechanism to guide the search for further categories and substantiation.

Coding took place throughout the collection of the data. This allowed the researcher to discover potential or real sources of bias and also permitted the researcher to set up further questions. Phrases, sentences, or paragraphs became units of analysis and were reduced to a single term represented by an alphabetical code of one to six letters in some meaningful combination.

To allow for easier manipulation and comparison of the coded transcripts, each transcript was prepared in a hard-copy format as well as replicated on floppy disks for computer usage. A customized computer software program was developed by an external computer programmer. The software program copied and stored the large amounts of text into a database file format using dBase III Plus. This customized software program permitted the creation, storage, searching, sorting, and retrieval of similar units of data based on the identified code. It also permitted the boundaries of the data to be determined solely by the researcher.

The text was reviewed and separated with an identifying code representing a particular category. The software program used the partitioned transcripts placing the identified codes and related transcript texts into their specific database fields. Two other fields of information were included, one field identifying the interviewed superintendent and the other field

noting from which of the three interviews the data was selected. See Appendix J for a sample coded page. Including the two other information fields was done to more easily retrieve the data had the coding process stripped the meaningfulness of the data due to the data being out of context of the remark. Including these other fields of information permitted the researcher to more easily retrieve the original remarks and its context.

The computer program allowed access to specific codes across all data sets of the three series of three interviews. Data was sorted and retrieved according to the assigned codes. The computer program also permitted resorting, reorganizing and recoding of the transcript text without losing the relationship to the other field data. The computer software program, R & R Report Writer was used to produce a written report of the coding extricated from the database files for further hard-copy analysis.

All coding was then organized alphabetically initially. Initial coding was also reviewed and those categories of fewer than five entries were then collapsed and absorbed into another larger category. The list of codes was then reorganized into larger groups of categories of general domains (Appendix I) as developed by the researchers, Lofland, Bogdan, and Biklen (Miles and Huberman, 1984, pp. 57-60) and recombined by the researcher. These categories were then restructured to match the larger categories of the three research questions. A list of Final Coding Categories was then constructed (Appendix K).

The collected data was triangulated through the following activities. The researcher compared the transcribed interviews against the researcher's field notes and the contact and document summary sheets. The researcher also double-coded several transcripts as a reliability check through coding the first dozen pages of field notes right away and then several days later. The formula used was:

$$\text{reliability} = \frac{\text{number of agreements}}{\text{total number of agreements plus disagreements}}$$

The initial code-recode reliability was at 95 percent. Each code was defined and the researcher

also had an external auditor code on a data sample regarding the categories selected to those of the researcher's. The intercoder reliability was at 86 percent.

Findings gleaned from the constant comparative analysis formed the basis for the generation of substantive grounded patterns and themes to capture the "lived world" of the participants. As the researcher proceeded in the study, data was analyzed. Each coding session consisted of looking back at previous codes and assigning the same code only after comparing previous and new units of analysis for a compatible fit.

### **Summary**

The study focused primarily on the thoughts and ideas derived from identified as effective practicing superintendents on their conceptualizations of organizational change. Using this qualitative data secured from three semi-structured interviews, the constant comparative technique was used to analyze the data and organize the data into a meaningful whole.

The data set of superintendent comments was coded and then arranged into larger categories according to each of the research questions. The qualitative data of developed codes was organized into categories through the assistance of a database program that allowed for reorganization of data more easily. From the reorganized data, patterns and themes emerged for review and discussion.

## CHAPTER IV

### PRESENTATION OF FINDINGS

This study focused on three selected suburban northern Illinois elementary district superintendents identified as effective through their recognition as recipients of either the Illinois Those Who Excel award or the Illinois and/or National Superintendent of the Year.

General background information about each of the superintendents and their districts was secured primarily from the superintendents themselves, from district documents, and from interviews with selected district-affiliated individuals. Qualitative data was secured through a series of three interviews with each of the superintendents. The interviews took place during the time frame of November 4 through December 27, 1993. Each interview ranged from approximately one hour to three hours in length depending on the time each superintendent chose to take in sharing his/her responses. The questions (Appendix C) focused on the superintendents' perceptions and backgrounds in organizational change, what their thinking of effective ways to implement organizational change were, and their subsequent actions. Information was also secured from an individual interview with two selected key participants within each of the superintendents' districts. Those interviews ranged from 45 minutes to three hours in length, dependent on the time each person took to share their responses. Similar questions (Appendix G) were asked. Each superintendent, district and district personnel were assigned a fictitious letter designation to assure their anonymity. The superintendents were assigned the designations of Superintendent A, B, and C with their districts bearing the parallel designation, District A, B, and C; and the key participants A1, A2; B1, B2; and C1, C2.



The following section describes demographic and personal data of the selected superintendents and their districts, noting similarities and differences. Each superintendent selected one or several organizational changes within their district with which to provide context for their discussions. The constant comparative method of analysis was used to organize the data into concepts and categories. These were then organized to answer the research questions.

### **District Demographic Data- Similarities and Differences**

Superintendents were selected from Illinois elementary districts that were medium in size. Elementary districts in Illinois service either Pre-School or Kindergarten students through students in the eighth grade. The districts had either a six or seven building configuration. Student enrollment ranged from 2400 to 4500 (see Table 1).

**TABLE 1.--DISTRICTS' ENROLLMENT - FY 93**

	<b>Buildings</b>	<b>Students</b>
<b>District A</b>	7	<b>3400</b>
<b>District B</b>	7	<b>4500</b>
<b>District C</b>	6	<b>2400</b>

All districts were considered middle class areas but areas of the districts ranged in wealth from areas of poverty to rather wealthy housing areas. Each of the districts served more than one village community, district boundaries not being contiguous with just one suburban community. Each of the superintendents' districts had fiscal constraints; for example, Districts A and B were working under a legislated Tax Cap assigned by the Illinois Legislature to the Chicago collar counties, but excluding Cook County. District C had worked to keep the line on the budget each year, fearing the financial watch list. The district dollars behind each student ranged from \$4,000 to \$5,500 for the 1991-92 school year (data available at the time of the interviews - rounded figures). District A spent approximately \$5,500; District B spent \$4,000; and District C spent

\$4,500 for each student (see Table 2).

**TABLE 2.--PER PUPIL EXPENDITURES - FY 92**

<b>District A</b>	<b>\$5,519</b>
<b>District B</b>	<b>\$3,987</b>
<b>District C</b>	<b>\$4,497</b>
<b>Illinois Average</b>	<b>\$5,327</b>

In Illinois, the entire district budget is composed of several funds, Education, Bond & Interest, Operations, Municipal Retirement, Transportation, and Site and Construction. In the districts under discussion, the Education fund is the largest, accounting for between 63.6% to 74.8% of the complete budget. (see Table 3). Salaries are generally the largest proportion of any Education fund with instructional supplies and materials also housed in that fund. Some of the differences among the interviewed districts can be accounted by noting Districts A and B focused dollars in the Site and Construction fund, both districts having experienced increases in student enrollment as noted by the superintendents.

**TABLE 3.--DISTRICTS' EXPENDITURES BY FUND - FY 92**

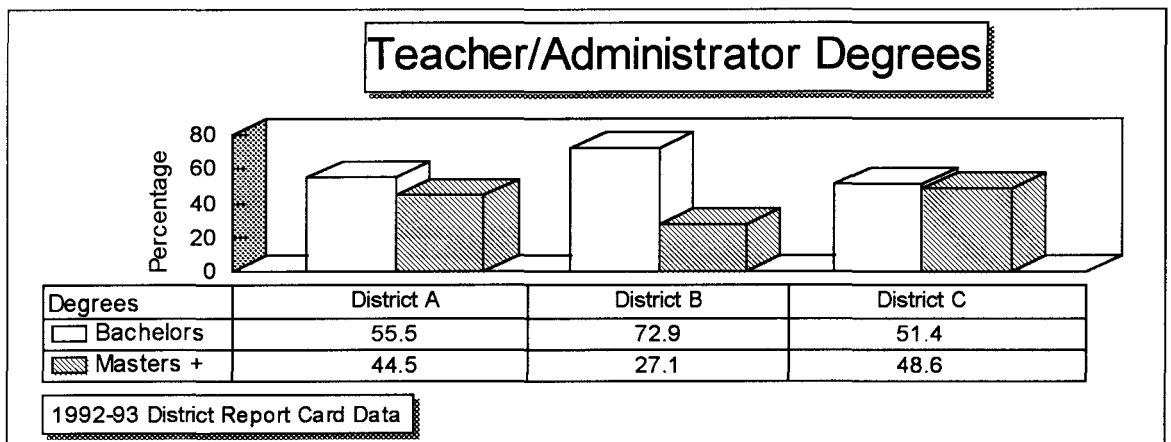
	<b>Education</b>	<b>Operations</b>	<b>Transportation</b>	<b>Bond &amp; Interest</b>	<b>Site &amp; Construction</b>	<b>Municipal Retirement</b>
<b>District A</b>	<b>64.3%</b>	<b>7.7%</b>	<b>3.0%</b>	<b>10.6%</b>	<b>12.4%</b>	<b>2.0%</b>
<b>District B</b>	<b>63.6%</b>	<b>9.6%</b>	<b>5.3%</b>	<b>11.0%</b>	<b>8.7%</b>	<b>1.7%</b>
<b>District C</b>	<b>74.8%</b>	<b>9.1%</b>	<b>4.3%</b>	<b>7.3%</b>	<b>2.9%</b>	<b>1.6%</b>
<b>Illinois Avg.</b>	<b>75.6%</b>	<b>9.4%</b>	<b>3.5%</b>	<b>5.4%</b>	<b>4.0%</b>	<b>1.7%</b>

In examining another district characteristic, the average number of years of teaching experience, Districts A and C had more experienced certificated personnel while the average years of teaching experience for District B was considerably fewer (see Table 4).

**TABLE 4.--AVERAGE YEARS OF TEACHING EXPERIENCE - FY 93**

District A	17.9
District B	8.0
District C	14.7

Also in reviewing the educational background of teachers and administrators within each of the districts, Districts A and C are somewhat comparable. A greater proportion of their teacher/administrative staffs have acquired the Master's and/or Doctorate's Degree with District B having a greater number of teachers and administrators at the Bachelor's degree level (see Figure 1). There was a correlation between the average years of teaching experience and the acquisition of Master's and Doctorate's degrees, seeing that District B had the least average years of teaching experience and the fewest teachers and administrators with graduate degrees.

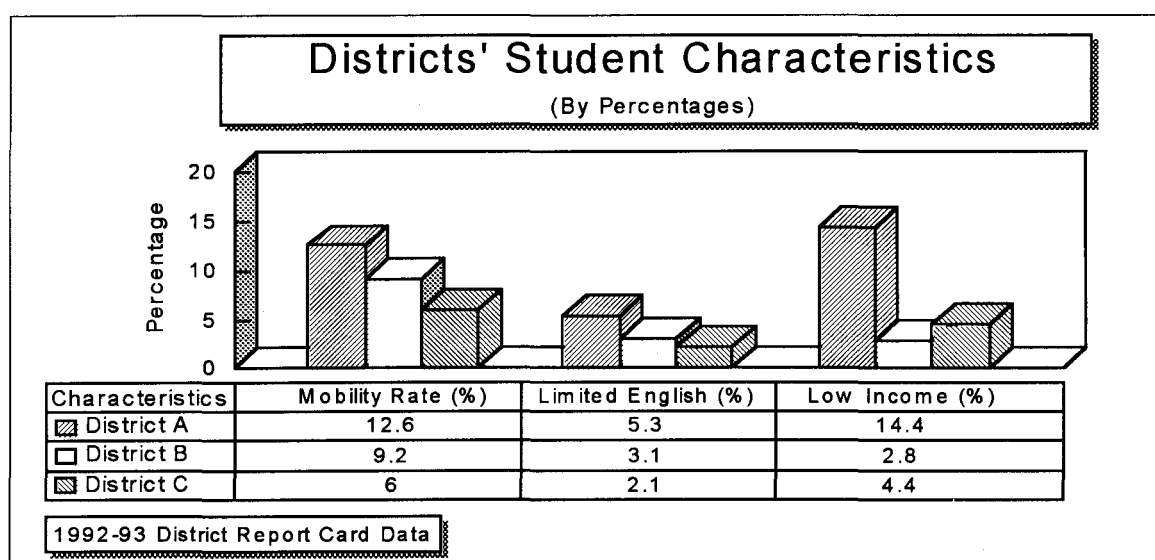
**Figure 1**

The districts studied were relatively similar in terms of ethnicity, with the greater preponderance of their student body being white. Their student racial/ethnic background is noted (see Table 5). Each of the superintendents did note that their student body was becoming increasingly more diverse.

**TABLE 5.--DISTRICTS' RACE/ETHNICITY - FY 93**

	White	Black	Hispanic	Asian	Native American
<b>District A</b>	<b>85.1%</b>	<b>3.3%</b>	<b>6.4%</b>	<b>5.1%</b>	<b>0.1%</b>
<b>District B</b>	<b>83.2%</b>	<b>3.9%</b>	<b>3.6%</b>	<b>9.0%</b>	<b>0.3%</b>
<b>District C</b>	<b>96.0%</b>	<b>0.5%</b>	<b>1.2%</b>	<b>2.2%</b>	<b>0.2%</b>

Other characteristics by which we can learn more about the studied districts were their student demographic characteristics of mobility, numbers of Limited English students, and the socioeconomic level of the district as determined by low income figures. The mobility rate was that figure which schools and districts determine from the moving in and moving out of children. With today's greater number of immigrants entering the country, many children entering the school systems may not be able to speak English and are eligible for English as a Second Language (ESL) services. Those students receiving services are noted as Limited English in the graph (see Figure 2). The low income percentages were determined through the qualification of students who were eligible for free and reduced lunch waivers as determined by federal guidelines.

**Figure 2**

As shown in Figure 2, District A shows the highest percentage of the selected districts on the three student demographic characteristics of mobility rate, Limited English students, and low income. It should be noted that the differences, the largest in any one characteristic being 14.4%, when considered on a 100% level are closer rather than extremely different.

In the area of student achievement, each of the Districts' Report Cards were reviewed. The areas of student achievement as noted by the Illinois Goal Assessment Program (IGAP) in the areas of Reading and Mathematics for the three selected districts are noted in Table 6 for the 1992-93 school year for which data was available at the time of the interviews. Students in Grades 3, 6, and 8 completed the IGAP assessments in March of each school year. Each of the districts were slightly above the state averages in Reading and Mathematics at the tested grade levels of Grades 3, 6, and 8. Reading and Mathematics scores are reported on a 0 - 500 scale.

**TABLE 6.—AVERAGE IGAP READING AND MATHEMATICS SCORES - FY93**

	Reading			Mathematics		
	Grade 3	Grade 6	Grade 8	Grade 3	Grade 6	Grade 8
District A	280	295	287	288	284	309
District B	285	300	285	297	303	307
District C	265	289	278	289	288	292
Illinois Avg.	245	259	258	268	257	266

In Writing, the average scores are reported on a 6 - 32 scale (see Table 7). Districts B and C were slightly above Illinois' average score in the Writing assessment at all tested grade levels while District A was slightly above at Grade 3 but slightly below at Grades 6 and 8. Overall, Districts A, B, and C were somewhat similar in their achievement as measured by the IGAP in Grades 3, 6, and 8.

In summary, Districts A, B, and C were somewhat comparable to each other in consideration of the cited demographic information. They were all suburban northern Illinois elementary districts. There was some variance in their mobility rate and percentage of low income students

with District A having the highest percentages of the selected districts. District B, from the demographic data, appeared to have the least experienced staff, both in average years of teaching experience and in percentage of graduate degrees. Of the three selected districts, District B also spent the least amount per pupil with District A spending the most per pupil. This correlates with District B's having a lower average years of teaching experience and fewer advanced degrees in comparison to Districts A and C. Of the student achievement data cited, the districts were closely grouped together when considering the scales, 0-500 in Reading and Mathematics and 6-32 in Writing. Districts A, B, and C were generally comparable with slight variances in their general background.

**TABLE 7.--AVERAGE IGAP WRITING SCORES - FY 93**

	<b>Grade 3</b>	<b>Grade 6</b>	<b>Grade 8</b>
<b>District A</b>	<b>17.9</b>	<b>20.5</b>	<b>22.8</b>
<b>District B</b>	<b>18.1</b>	<b>22.6</b>	<b>24.9</b>
<b>District C</b>	<b>19.2</b>	<b>24.2</b>	<b>25.5</b>
<b>Illinois Average</b>	<b>17.7</b>	<b>21.4</b>	<b>23.7</b>

### **Superintendent Demographic Data - Similarities and Differences**

All superintendents were in their original superintendency at the time of these interviews. All superintendents were in Chicago suburban districts. Each entered into the superintendency from a district other than the one in which they experienced their previous administrative positions. Each of the interviewed superintendents noted the fact that they were good matches with the district within which they were currently serving. Superintendent B pointed out even further that the job of superintendent was a good match for him. "I'm superintendent because the job is the kind of job that I do well. I think it suits my personality. It suits my own makeup, my own characteristics. I feel that I am successful at what I do."

Each interviewed superintendent was involved with legislative education entities and par-

ticipated in some capacity within the community. Each actively served or had served in such community organizations as Rotary, on the Board of Directors for community bodies such as banks and as chairs of committees for such professional units such as their Special Education cooperatives.

Each sought out professional growth experiences through such agencies as the American Association of School Administrators (AASA) as well as through other business organizations, such as IBM.

Two of the superintendents, Superintendents A and C held doctorates; Superintendent B earned a Certificate of Advanced Study. Each of the studied superintendents moved through a different career path on the road to the superintendency. Superintendent A moved from the teaching ranks to the Assistant Superintendent for Personnel, then on to the superintendency. Superintendent B moved from teaching to an elementary principalship to an Assistant Superintendent and finally, to the superintendency. Superintendent C moved from teaching to an elementary principalship to a Director of Curriculum to an associate professor position to the superintendency. All of Superintendent B's professional educational experiences occurred in Illinois; Superintendents A and C had some previous professional experiences in different states.

Superintendents A, B, and C ranged in years of experience in the superintendency from six years to 22 years. Superintendent A is female and Superintendents B and C are male. Each of the superintendents herald from a different age decade. Superintendent A is in her 40s, Superintendent B is in his 50s, Superintendent C is in his 60s. Each of the superintendents were selected for the study having achieved recognition for their work by their colleagues or their school community. Table 8 highlights the superintendents' years of experience and advanced degrees.

### **Recognitions**

The Illinois Those Who Excel award is an annual award given to outstanding educators and community members affiliated with education. Superintendents B and C received this award in their roles as superintendents. The Those Who Excel program is sponsored by the Illinois State

TABLE 8.--SUPERINTENDENTS' EDUCATIONAL EXPERIENCES

	Years in Superintendency	Years in Education	Advanced Degree
Superintendent A	6	21	Ph.D.
Superintendent B	12	30	C.A.S.
Superintendent C	22	35	Ph.D.

Board of Education. Its purpose is to honor those considered to have made significant contributions to the state's schools, both public and nonpublic elementary and secondary schools. The Those Who Excel Award winners are nominated by individuals in the local school districts or communities; in this study, Superintendent B was nominated by his board of education and Superintendent C was nominated by his teacher association.

Superintendent A received recognition as the Illinois Superintendent of the Year and later, as one of the four recognized nationwide finalists for the National Superintendent of the Year award sponsored by the American Association of School Administrators (AASA). The State award is sponsored by the Illinois Association of School Administrators (IASA) and the applicant was nominated by her fellow superintendents in that organization. This award recognizes individuals who have made significant and outstanding contributions to education through the superintendent's role.

Each of the superintendents, Superintendents A, B, and C were all currently experiencing and were supporting organizational changes due to such initiatives as the inclusion movement of special education children integrated into standard education classes and the ongoing implementation of new curricula. All also experienced changes due to Illinois legislated mandates such as the Reform Legislation of 1985 and the more recent 1992 legislation involving the School Accreditation Process. Each was involved in a strategic planning process.

#### **Organizational Changes - District A**

The organizational changes that have occurred in District A related to a steady increase in



the student enrollment, the increasing diversity of that population, school improvement efforts based on the Effective Schools research, greater emphasis on staff development through district and school-based initiatives, and a movement to more site-based decision-making. Other organizational changes mentioned in the interviews included the development of a strategic planning process, reorganization of the central office, and changes such as budget cuts associated with financial difficulties due to the impact of the Tax Cap imposed by the Illinois legislature on the Chicago suburban collar counties excluding suburban Cook County.

Teacher association activities have been relatively stable within the five year period with contracts being settled within a timely manner and involving a change of moving from traditional adversarial bargaining to a modified Win-Win approach. There was a definite effort made towards collaborative efforts by both the teacher association and administration.

### **Organizational Changes - District B**

The diversity of the student body was beginning to increase as noted by the superintendent as more families moved from the city of Chicago to outlying suburbs. Providing for the increased numbers of students within existing fiscal constraints had been a major challenge for this district.

The changes that have occurred have been stimulated through dealing with the growing body of students in the community, through continual Illinois mandates, rules and regulations, and through needs for fiscal restraint. The changes in District B were many and varied, including: reconfiguration of district buildings from K-5 to K-4, 5-6, 7-8 buildings; 1-year teacher contracts to 3-year contracts; building of three schools; administrative changes among buildings every 3-5 years; state mandates in curriculum; involvement of staff in curriculum changes; board changing to a committee structure; high turnover of board members; site-based responsibility for the budget; curricula changes; i.e., textbook adoptions, reading improvement, etc.

Teacher association activities have been relatively stable, although a bit more assertive than in either District A and C. Teacher contracts have been arrived at in a timely manner and no

strike actions have been taken. Traditional bargaining is the vehicle by which settlements have been achieved.

### **Organizational Changes - District C**

The organizational changes that had taken place within the past five years within this district included: special education inclusion of students; increased use of technology within the schools; increased use of staff development within the district; and alignment with an outside national agency for school improvement efforts; and a major involvement in building Education 2000 - restructuring the school district in light of major reforms.

Board relations have been supportive of proposed changes. Teacher association relations have been relatively stable in the last six years. Also, teacher contracts have been agreed upon within a timely manner using the traditional bargaining approach but with the superintendent taking an active role at the table.

### **Key Participants**

The key participants interviewed by the researcher were selected by the superintendents. In District A, the key participants were the Board President (A1) and an elementary principal (A2); in District B, both key participants were principals, one being an elementary principal (B1) and the other a junior high principal (B2); in District C, one key participant (C1) was a classroom teacher who also was cochair of Education 2000 and the other key participant (C2) was a central office administrator.

Each of them validated that the organizational changes discussed by the superintendents had taken place. The key participants were involved in most of the changes discussed. They felt that the superintendents in the majority of cases were outstanding communicators. Key participants A1 and A2 cited the writing ability of Superintendent A and even remarked that for a few people, there was too much writing. Key participants felt that at least they had all the information they needed and would rather have this occur than not enough information being shared.

Key participants B1 and B2 summarized most aptly another behavior of the interviewed

superintendents. They discussed the high visibility of their superintendent, being in their buildings at least once each week. Superintendent B also communicated that he expected his principals to be in classrooms on a daily basis. Superintendent B also attended night meetings, such as Open Houses, student performances, etc. as well did the other superintendents interviewed. Key Participant B1 noted that staff and parents were comfortable with Superintendent B, in large part due to his high visibility.

Each of the key participants referred to the mechanisms that the superintendents utilized in order to get input for any proposed organizational change. Each of the superintendents held some sort of public meetings, such as hearings, forums, or community events relating to the organizational change under discussion. There were more than one opportunity provided for staff and community to get their input to be heard. Each key participant cited this as important to the success of the proposed organizational change under discussion. Everyone had their opportunity to provide input and concerns before decisions were made. There was an openness to the process.

The key participants also noted that their respective superintendent was always bringing up new ideas. Key participant C2 noted that Superintendent C does not sit back with the status quo. "He can make people crazy; he always has an idea of where we should be going. He's always thinking and questioning."

This leads right into the issue of each of the superintendents, in their respective organizations, being proactive, always scouting the horizon and their own organizations for the need for change. Even though emergencies came up, it appeared that the norms were in place for the districts to respond to organizational change. Each of the key participants noted that there was always something going on but that the process for dealing with large organizational changes was in place. Their superintendents did not wait for those changes to come about on their own.

The key participants noted also that the superintendents were proactive in other respects, such as their willingness to integrate state mandates in a meaningful way into their districts. They

did not accept critical state mandates on their face value alone. They worked with the ISBE to see how existing projects could mesh into such mandates, as the School Accreditation Process.

### **Documents**

The superintendents shared with the researcher various documents that related to organizational changes under discussion. Those documents included the mission statements from each of their districts. They also shared such documents such as letters to the staff detailing organizational changes that would be occurring, timelines of such changes, and notice of meetings at which input was being sought. The documents verified that the organizational changes had taken place or were in the process of being implemented. They also showed the process and the time that some of the organizational changes took to be put into place.

The interviewed superintendents shared with the researcher their School District Report Cards for 1992-93, their most recent Report Card. This Report Card is compiled by the Illinois State Board of Education (ISBE) on an annual basis, citing information from district-generated documents required by the ISBE. The report cards were used to generate much of the demographic information about each district detailed within this chapter.

### **Findings - Research Question 1**

In the nine interviews with the three superintendents, they spoke to the varying organizational changes with which they had experiences. Using that background, they shared their understandings of organizational change from their vantage points as practitioners in response to Research Question 1: What conceptualizations of organizational change are held by effective superintendents? Superintendents A, B, and C were modest, concerned that their common sense approaches to organizational change were nothing out of the ordinary.

As leaders of their organizations, they felt the superintendent needed to be part of organizational changes, particularly those that were district-wide changes. Superintendent B noted, "Superintendents are a big factor. They bring about a lot of organizational change, or at least they should." Another, Superintendent C noted that the leader of the organization, because of that

status, had to be tuned in to change. In his own circumstances, he further noted that,

But I think they see in me a model of someone who is interested in change, who is committed to what we are doing in the district, who really down deep, the bottom line is the concern for what happens to kids.

Also, "I do think that the leader has to be actively becoming more aware of what's going on him/herself so that they can have input into the organization as well," commented Superintendent A. Continuing on that theme, Superintendent A cited the need for awareness on the part of the superintendent so that s/he may bring forth information to the grassroots based on the contention that were those individuals knowledgeable of that information, the grassroots level may find more of a need to change. Superintendent A also noted that "...an ultimate responsibility of leadership is to help organizations improve."

Each superintendent, A, B, and C spoke about the need to do something meaningful within their role as superintendent, organizational change being a particularly relevant role. Each confidently expressed that if they were not making an impact on the organization that would positively benefit children, each could find some other way in which to earn a living. This was important to each of them. Superintendent C summarized the consensus of the three by stating, "If you have some talent, you ought to use that talent to do something worthwhile so the world is a little better because you were here." He even further argued about the need to take risks and do something.

There's a lot that says, "Hey, if I just keep going along the way it is and don't try any of these new things, people will think it is okay. I can show you superintendents all over the Cook County area that do that. You've seen it. And again, it's not just education. It's any kind of business. It's having the, I guess, it's the internal strength, the faith in yourself that says, "I'll try it" and risk the failure rather than do nothing. All of this business of change, there's a tremendous risk involved, and what we haven't taught kids enough is that they ought to be a risk taker.

All three superintendents, in one way or another, noted the importance of not making change for the sake of change. The changes that were selected to implement were those that would have an ultimate positive impact on children. These comments were corroborated by the interviews of district-affiliated persons.

Superintendent B noted this consensus of the interviewed superintendents through his comments describing his guiding principles that he used when implementing an organizational change. The first principle Superintendent B used was that the change had to create something better for students, as he stated:

Whatever change occurs, that has to be change that brings about something better for students, not anything less. We cannot sacrifice where students are involved in bringing about any organizational change.

Otherwise, the changes not related to creating something better for students were either not implemented or denied continuing resources of time and money.

Another of Superintendent B's other two guiding principles which he indicated were not in any priority order, was the consideration that people not be hurt in the change. His last guiding principle that he considered was the financial impact that any proposed change would bear, short- and long-term, on the district.

The negative or positive determination of any organizational change was not arrived at alone; most often, Superintendents A, B, and C reviewed it with some group or groups to arrive at that determination. Such groups included the superintendent's Cabinet, Administrative Council, the Council of Curriculum and Instruction, PTA Boards and PTA Council, Citizens Advisory Committees, and the Board of Education. Superintendent B noted this process,

Now, I'm not saying that all change is positive and I'm also not saying that all change takes place but they (all publics) have an opportunity to build into the agenda for consideration, changes. Then I think it is my responsibility to determine if that change will positively or negatively impact on children and children's learning in this district. I get that information from interacting with these individuals and with others. If there is a consensus and if it sounds like a positive thing, then we really need to look at that.

Superintendent C also pointed out the screens he used to implement organizational change within his district are the answers to several questions: "Is it going to improve the situation? Is it doable? Does it make sense?" With affirmative answers, the organizational change moved forward. Superintendents A, B, and C also spoke of their district's mission statement, citing it as the

guiding force behind their actions in face of varying conditions, such as the increasing diversity of their student populations, societal changes, and greater technological improvements.

### **Need for Change**

Each of the interviewed superintendents referred to organizational change as the norm within their districts, whether that was due to the pace of change within the external or internal environments. Superintendent B noted,

Once I got past my first year here, it didn't take much to realize that this district is always in a state of changing. Something is always happening because of the influx of students, because of the turnover in staff, because of the turnover in parents and also, in administrators and board as well as new ideas that any and all these people have. So organizational change is just something else that happens.

Superintendent C also noted, "... you keep working with your people and try to help them see that change is inevitable. It is so much a part of our lives today." Superintendent C noted that his role as superintendent was to alert people to the need for change, "Yes, I think you make people aware of things, help them to see for themselves where the holes are in your program, and then encourage them to do whatever they can and just be as supportive as possible."

Continuing that theme, each of the interviewed superintendents noted that organizational change was very much a part of the superintendent's responsibilities within his/her district. "That is what I do for a living (dealing with change)... I deal with that. It is just another day on the job," explained Superintendent B. He went on to further state,

So organizational change is just something else that happens. To me it is just like getting up in the morning and grabbing a bar of soap and washing your face. I mean, it is just a matter of fact. ... I just see change as something that is going to happen during the day. As the clock goes around in this district, change is taking place.

Also, Superintendent A noted, "I think there is no doubt that somebody in a leadership role has to have a sense as to when change is needed."

When talking about where the need or agenda for organizational change came from, Su-

perintendents A, B, and C each talked about the need coming from all their publics, both internal and external. Internal publics included all employee groups, including the bus drivers, parents, students, teachers, administrators, the board of education, etc. External publics involved the Illinois State Board of Education, the local communities within which their schools resided, American society, as well as the events of the global community that, in fact, impact on the educational arena in their communities. Each of the superintendents shared a broad perspective of the need for organizational change within their districts.

The superintendents cited the demographic changes within American society such as: American immigration regulations leading to greater diversity in their respective student bodies (Superintendent A), Americans getting older (Superintendents B and C), and more women entering the workforce (Superintendents A, B, and C), etc. Superintendents A, B, and C also noted the social issues affecting their students such as: child abuse, increasing poverty rate, homelessness, racism, guns and drugs in schools, increase in single parent families, both parents working, and the lack of parental supervision, etc. as creating difficult situations in which children grow up. Superintendent B noted, "Inner city problems are no longer the problems of cities, they have spread to the suburbs. I think violence is a big problem that schools are facing today."

Superintendents A, B, and C also noted that the whole accountability and total quality movement in business and industry was also impacting their districts. The focus on the School Improvement Plan in Illinois where continuous improvement is being sought was still another mechanism stimulating organizational change. Also, as part of this process, a new focus had been generated on creating performance-based or authentic assessments for measuring student achievement.

They also referred to the changes taking place in education due to several factors, such as the explosion of information. One, Superintendent C, cited the futility of trying to teach "everything of importance."

You know when I went to school in the 1930s, we could pretty well sit down and say this is what is important. Today what was important in the 1930s might take about two weeks of our school curriculum. So many things have changed. The knowledge base has changed.



This superintendent in another discussion, noted that “I think you recognize that our schools cannot be in 1999 or in 2000 what they are today. If they are, we are going to do a disservice to kids.”

Superintendent B pointed out another issue of parents and parental ability to support their children in school.

There are a lot of parents out there who are not prepared to send children to school. They see school as school was when they went to school. And school is nothing like when they went to school. We have parents who are incapable of assisting (their) children at home. We have parents who don't understand the processes kids go through to learn. We are almost at a point where if we are going to teach the children, we also have to teach the adults.

Still other influences for change came from within the organization itself. The need for more classrooms and more buildings were created as families and more students daily move out to the suburbs. This also pointed out the mobility rate that was constantly at play within each of the districts interviewed. In Superintendent B's district, a survey was conducted that indicated that less than 50% of the 3rd graders continue in that district to graduate from 8th grade.

Also, Superintendents A, B, and C spoke about teachers having an ethic for improving the quality of instruction within their classrooms. They recognized the dedication and the high caliber of their staffs in wanting to present a quality program of instruction to their students. Superintendent A stated,

People inherently want things to be better, so I think the best is if you can be sensitive to the indications that people want to do things better so that becomes your mandate for change.

In reflecting on all the changes that were impacting their school districts today, Superintendent C summarized his conclusion, “We better change our schools. We are not going to change the world. It's on the way.”

### **Involvement of Others**

When queried about the best manner in which organizational change needed to come

about, Superintendents A, B, and C stated in one way or another that organizational change needed to be collaborative, coming from the top down and the bottom up. Superintendent B best summarized it,

I think the best change is cooperative change. Change that meets in the middle somewhere, where people on the top and people on the bottom are meeting together and generating change. I think that's the best kind of change because people both at the top and at the bottom have ownership. That's the best way to bring about change.

Another, Superintendent C noted,

It's a combination...I think you start out, maybe, top down, at least setting the stage, but then you want to get the bottom up kind of thing because that gets more people involved and more investment in what you are trying to do. ... If you start from the bottom up, you get a lot of people invested in the beginning, and that is also what you want for change.

Still discussing the top-down, bottom-up issue, Superintendent A stated, "Well, I almost think it kind of goes both ways all at once. Bottom-up is you want to take advantage of the readiness that people may have for doing things differently."

Going further with the idea of ownership, each superintendent talked about the need to develop a critical mass of people involved in the organizational change. It was important to each of them that there be opportunities for involvement of as many people as possible, allowing them the opportunity to give input into the change. Superintendent C felt there was a definite benefit of such ownership,

If we can get parents up there and say, 'Wait a minute. My kids are in school and I want this program in place because...' And if they can numerate what is going to happen, we're going to sell it. That's the most exciting thing in the last three years.

Superintendent C continued to point out the intent of community participation; namely, "The real intent is that we want the community committed to what we are doing. We want them to be able to tell us what they want and then they can help us implement it."

Even further, Superintendent C expressed, "One of the basic tenets in this whole thing

(Education 2000) is a very strong belief that what comes out of this must come out of the community itself.”

Superintendent B cited that it was important to solicit community and staff input because in the bigger picture, the superintendent individually was often the least affected by the change whereas the community, students, or the teaching staff would be far greater affected. He further pointed out a definite benefit from involving participation,

What I really like about working with a lot of people, getting people involved, is that the very first premise that you come to may not be the correct one. And you learn that through the process.

Superintendent A discussed the annual strategic planning process as one of several district planning forums which is built upon a wide range of participants, board of education members, administration, varying employee groups, parents, and community. She also used the mechanism of Citizen Advisory Committees and district public hearings to explore and work through critical district issues.

All superintendents, A, B, and C felt it was critical to keep their boards of education informed about the changes taking place. They all emphasized the constant need for communication throughout the communities--parents, district staff, and the larger community.

### **Attitudes/Attributes**

The superintendents also noted the importance of their credibility and commitment within the school district. Superintendent C noted, “But the fact is I have a little more influence because they have heard me talk often enough and if there is a consistency or a continuity to what I have been saying, all of a sudden, it starts to sink in.” He also pointed out how he gained credibility with his staff, “I think that I gained credibility with the staff when they got to see me as a human being who cared about what happened to kids.”

Superintendent B noted that it was important to establish credibility through working with people, not just having people working for him. From any meeting in which he is involved, he

made sure that he also took responsibility for some assignments. He felt that people throughout the organization then were able to see him as participating within the organization rather than just directing the district. He also mentioned that people were much more apt to follow through on their responsibilities because of his lead in always following through on his assigned tasks. Superintendent B also shared, “There’s got to be that feeling of the leader being part of the team. Otherwise, nobody is going to do anything.”

Other ways in which Superintendent A noted that she established her credibility were activities that included: the facilitation of district Citizens Advisory Committees, securing her doctorate, continuing her professional development, and sharing those learnings with her administrative team and staff. The other two superintendents also felt it was very important to continue their professional development seeing that as an important requirement of their positions.

Each of the interviewed superintendents noted that there was the need to demonstrate their commitment to the district. Each did that through a variety of mechanisms--high visibility and participation within the district, representation through leadership positions outside the district in other educational entities or community organizations, longevity within the district, etc. Superintendent B pointed out how important it was to him to have commitment to the organization through the daily range of activities in which he was involved—from dealing with six early childhood special education children to the Board’s decision on what the tax levy would be.

So you have got to have that kind of ownership. Nothing is too small, nothing should ever be too small for the superintendent to get involved in. If you can’t get involved in those things as a superintendent, you have no credibility to the people in those areas. They wouldn’t even know who you are.

He went on to note that his ownership in changes was critical and necessary to provide the support to the staff and community working on implementing the organizational changes.

Superintendent C discussed the advantage longevity and how that contributed heavily to the ability that organizational changes were seen to be something that would be ongoing and lasting. Superintendent C noted, “But the fact is, the people who will stay at a place long enough

to make a difference probably provide the best kind of leadership long-range.” Each of the interviewed superintendents had been there for a period of time (six years to 22 years).

Further on that theme, he pointed out why he felt so many organizational changes fail due to the here-today, gone-tomorrow superintendent. He felt that teachers knew when superintendents changed every three to four years that no real change was going to take place because the superintendent had little opportunity to make a meaningful difference. In such environments, changes promoted by the superintendent can be construed by staff and community as just another “notch” on a highly mobile superintendent’s belt that a superintendent will list on his/her resume as one moved from district to district. For example, Superintendent C stated,

I have been around for a long time. I’m a fixture and look around you at the districts where they change their superintendent every three or four years. The person takes a job and then moves on to a bigger district and there is always continual turnover. As a teacher, when that guy comes in, you say, ‘In a couple of years he’ll be gone.’ You go back home and you do the same thing that you did yesterday because this guy doesn’t make any difference. Now, after you have been around as long as I have, if I talk a little bit, people get to know what they can ignore and what they shouldn’t.

Superintendent C notes, “...people know you are going to be around and you talk to them about change and help make the conditions for change possible, I think it (change) can happen...and easier than most people think.”

Still another attribute that the superintendents discussed was the need for flexibility. Superintendent C in sharing the inclusion and curriculum changes made to date pointed out that much of what they have done with inclusion and what they are continuing with the curriculum development “...is not cast in concrete because we knew we were going to modify as time goes on...” Superintendent B pointed out that the bigger picture of doing what is best for the system is most important and that he has had to make adjustments in his decision-making to reach that goal.

You know there are times that I make a decision and give it a lot of thought, and in my mind, it is the absolute right decision on a Tuesday, and I present it on a

Tuesday. We work on it, and Thursday, something comes up that tells me, maybe that decision should have been another way. There has to be an adjustment here. I need to adjust this to make this work, so I do that.

Flexibility in terms of money distribution, scheduling, and restructuring a teaching position were some of the ways in which Superintendent A's district supported and focused on the objectives of school improvement. Superintendent A also related the organizational change of individualized professional development that she tried to bring in from another district. Based on a clinical supervision model, the staff of her current district went into a panic over the proposed changes. Superintendent A and the Professional Development Committee, composed of three teachers and three administrators went back to the drawing board addressing the staff's concerns, restructuring the program, and indeed the program was put in policy and continues to be in place today within District A.

Superintendent C further displayed his flexibility through his insistence that the changes District C would design through the initiative of Education 2000 not be his alone. He asked the Board of Education to assign a teacher to the coordinating role of this project. Through this action, he felt that the program would remain past his years of service, would get the direction from the teaching staff, and would be shaped by the needs and direction of the community. Throughout their work with Education 2000, the District coordinators and committee have begun expanding their levels of involvement by parents and teachers through continuing forums. Superintendent C also demonstrated the need for flexibility in still another way as District C went about to align District C's work on Education 2000 with the guidelines of the Illinois School Accreditation Process.

Superintendents A, B, and C pointed out certain personal attributes that contributed to their role in the superintendency and organizational change. Superintendent B noted,

Fortunately for me, my attributes lie in being able to see things, to see the future, to set priorities. Some of my positive attributes have always been to be a good thinker and to be a good idea person and be able to carry out those ideas.

## **Findings - Research Question 2**

Research Question 2: What factors do effective superintendents pay attention to when working with the district staff and community on organizational change? framed this part of the study. When preparing the staff and community for organizational change, the superintendents paid attention to several factors. These factors involved knowing the background, norms, and structures of the organization, including the individuals and their capacity within the organization. They also paid attention to the barriers that might arise to any proposed organizational change. The superintendents worked to keep the Board of Education informed and to develop the Board into a decision-making body and a team, seeing the Board as a critical key player in any organizational change. In their capacity as superintendents, they worked with and through the Board of Education on implementing organizational changes. They also developed a range of strategies to facilitate organizational change and to deal with varying barriers.

When reviewing the background of both individuals and collectively as the organization, the superintendents all agreed that people do not like change, particularly, when that change is being initiated by someone other than each particular individual. People would prefer the status quo to change even when it may be a positive change. Change creates discomfort. Superintendent C compared it to a personal experience of using a loaner car while his car was being repaired. Nothing was where it was supposed to be and all the settings of his seat and the steering wheel had to be reset. He remarked how comfortable he felt upon getting his own car back. When discussing the move toward inclusion within that particular district, Superintendent A noted,

So I guess I have to say I do perceive that there is continuing discomfort on the part of some staff members whether it be over the issue of whether I am skilled enough, where am I going to be next year, what is my assignment going to be. I do think there is a lot of anxiety because we are at the beginning of the change process.

Superintendents A, B, and C noted that change is part of the larger environment as well as their individual district environments due to such reasons as increasing enrollments, working to-

ward school improvements and better student achievement, and continual professional growth and development of staff, etc. They referenced change as part of the norm within their districts. They all talked about working with their staffs to help them to see that change is just part of daily existence. Superintendent C noted that “They (people) get settled into something, and change is uncomfortable. What you have to do is get people to the point where change is part of the routine” and “...you keep working with your people and try to help them see that change is inevitable.” Superintendent B noted that due to increasing enrollments, his district is constantly in a state of change. He noted:

So it is just part of your working pattern. It really is. Even things that are larger in scope such as the reconfiguration, ..., the building of schools, etc.; some of those changes, that's just part of the day-to-day operations. That is what I do for a living. I deal with that. It is just another day on the job.

The superintendents also paid attention to the structures that made up the organization. They either utilized the existing structures or went about changing the structures making the district more amenable to change. Such changes they initiated included: teachers coordinating organizational changes; reading specialists or special education teachers used in a more consultative manner; teachers expected to maintain ongoing professional development; the responsibility and accountability for budget moved solely from the superintendent's office to each school site and department; administrative goals aligned with the district's goals; administrative positions and responsibilities restructured, etc.

Proposed organizational changes were developed through a process of securing much input and involvement from varying publics, including Board, administrative, teacher, parent, and community. The superintendents felt that this added to the value of any change taking place because it permitted changes to evolve in a manner that elicited the best of people's thinking. It also permitted the change(s) to be reflective of the community. Superintendent A talks about these benefits as she discusses that district's strategic planning process:

...the strategic planning process has really helped pull people together. We



now have a mission that I think is reflective of our community values. We have strategic policies, we have long-range goals and annual objectives and I think it really gets people focused on what they need to be doing.

Superintendent B also talked about the benefit of having a well-developed plan due to the involvement of all appropriate parties, including the Board of Education, administrative and teaching staff, and parent and community groups. He expressed the belief that the best plan would be secured through this process. Superintendent C noted the importance of ownership,

In this case we have involved so many people that I could leave tomorrow and Education 2000 will go on. I didn't want it to be my program. I wanted it to be their program, and it is now.

When planning for organizational change, the superintendents ensured foremost, that there was backing by the Board of Education. They, as superintendents did not go it alone, seeing themselves as leaders but also in their role as the appointed representatives of the Board. Often, organizational changes were brought to the Board for their approval and their subsequent backing and support. Superintendent A generally works organizational changes into the district's objectives which are approved by the Board. She stated, "I'm never out there without the Board being aware and approving of the general direction if it is going to impact the district as a whole." Superintendent C pointed out the value of Board approval through his statement, "Now, there is an understanding out there, I think, that two or three years down the line when all of this stuff is in place you darn well better be doing it."

Presentations were made to keep the Board aware of proposed changes and the status of existing changes. Through Superintendent's Newsletters, phone calls, committee reports, and midyear and end-of-year status reports, periodic updates were also made to keep the Board informed. It was perceived by all the interviewed superintendents that it was their responsibility to have relevant information for the Board. Superintendent B prioritizes the reading for the Board members into categories of Must Read, District Happenings, and Interesting Reading. He holds them accountable for reading the Must Read material. This superintendent also aligned the

entire district by having all administrators, including himself, adopt as one of their goals, the Board's goals. In speaking of the Board, Superintendent B stated this fact,

I learned early on in the Superintendency that the more that they know or the more that you make available for them to know, the more a partner they can be in sharing the solution.

He further stated in another interview,

My goal is to have the smartest board members in town so they make wise common-sense decisions for children. I want them to have all the information I can give them before they vote.

Each of the superintendents spoke of developing the Board of Education members both individually as members and as a collective body or team. Each held an orientation for new board members upon their election to the Board. Each superintendent had some mechanism to develop the team concept and secondarily, to keep their Board informed. Superintendent A asked Board members to serve as ex-officio members on the Citizens Advisory Committees. In Superintendent's B district, the Board took on Committee responsibilities so as to develop the concept of a team. Superintendent C, through the forums for Education 2000, was working on developing his Board into a collective whole. He had also planned for the Board to have a retreat to secure greater alignment on the issues of anticipated program changes, the Illinois School Accreditation Process, etc. Superintendent C noted, "You bring the Board along. It's like a group of teachers. You find those who are willing to move and you work with them. You continue to work with them and the rest of them come along."

Another factor that Superintendents A, B, and C took heed of was the barriers they and their districts faced. All of the interviewed superintendents talked about money being one of the barriers to organizational change. School financing was a major issue to each of them. Other barriers included the concerns promoted by the Religious Right, labor unions and teacher associations and their resulting demands on schools, time for changes to take place, scheduling, and the new roles that teachers and administrators were taking as part of the organizational changes.

Another barrier noted was lack of community interest and support.

Internal barriers included also those people who were unwilling to change and wanted to maintain the status quo at all costs. Superintendent C talked about the fence sitters who were not actively participating nor fighting the organizational changes but just waiting it out, anticipating the demise of some of the changes. In Superintendent's A district, another barrier mentioned was that people felt the district was moving much too fast in their changes. Too much staff development opportunities after a period of nothing caused some teachers' heads to spin feeling they had to participate in every workshop or class that was offered.

One superintendent, C noted "...the real problem comes when the external impediments, or the people who are fighting the change from the outside start getting to the people who are internal." He noted that this could lead to loss of internal staff morale. Also, just the amount of time that can be given to the development of organizational change was stated to be a barrier.

The reason it is harder to do in education is that I can't pull 15 people together and say, "This is your task," because each of those 15 people has 25 to 28 kids every day in the classroom, and their responsibility is there and not over here. That's why we are slower to change. Because I can't pull them out and say, "Forget the kids." Because that's our reason for being here.

Superintendent C talked about the changing roles of teachers and administrators but also about the changing role of the Board. Their support was one of the recognized needs when he stated,

...if this Board cannot stand up in a meeting when there are parents out there and defend the program, they might as well look for something else to do with their spare time. Because if they are not taking the lead and supporting and selling this program, it isn't going anywhere.

Superintendents A, B, and C looked at the bigger picture of any organizational change and were not wedded to the minor details of any particular change so greater flexibility existed. In Superintendent's A district, a particular organizational change of individual professional development resembling clinical supervision threw the staff into a panic, with the staff seeing it as a con-

spiracy to fire teachers. The committee in charge of this change went back to the drawing board. They slowed down the pace, expanded the timeline for adoption and implementation, created a pilot to allow staff participation to shape the change, solicited staff concerns and utilized that input to redevelop the Instructional Development Program (IDP). The IDP program did become part of Board policy and institutionalized practice.

Conflict is very much a part of organizational change. It was important to the superintendents to address the issues of conflict, expecting it as a predictable sidebar to any implemented changes. These conflicts might arise from a variety of issues. Sometimes the conflict related to the means to get to the end result, or to the timetable for implementation, or even the need for and the purposes behind the proposed changes. Superintendent C noted,

You make change, not for the sake of making change, but because you can do things better. Between the current practice and what you want to do better there is going to be a dip in performance, and that causes all kinds of conflict.

Superintendents A, B, and C cited such issues as the learning curve for staff when new programs are implemented, the implementation dip that occurs, as well as staff feelings of high anxiety and frustration when lessons take a greater deal of time or the teacher suddenly feels inept with the new instructional procedure or program.

For the first time people who were the doubters who sat back can see something. Before it wasn't that tangible, because we were doing the stuff that was down at the bottom below the surface of the ground. Now it is starting to come out of the ground and it has shape. It really means something.

In moving through the change process, each of the superintendents paid attention to the continuing support that needed to be there to sustain any change effort. The superintendents saw themselves as providing that support through directing their own efforts and attention to the change, directing resources and support to those involved with the change effort. They kept the lamp burning when enthusiasm drags. Superintendent C noted the importance of keeping the direction.

“This is what we want to do.” You just keep saying to them over and over and keep reminding them that this is where we are going. As long as you keep reminding them often enough, they keep moving in that direction.

Superintendent C also noted how important it is to have people realize that they are capable of changing and have been in that process of changing. He does that in ways such as reminding teachers through a note of all the things that have changed over the last year recognizing and appreciating the role the teachers have played in the varying projects. It is important to keep the support of the superintendent there noted Superintendent C. “If the people who are out there working don’t think that you are supportive, it’s not going anywhere.”

### **Findings - Research Question 3**

Completing the study, Research Question 3 asked: What actions do effective superintendents take to promote change within their organizations? In reviewing the actions the interviewed superintendents noted when initiating and implementing organizational changes, they each talked about the process of change. That process included such dynamics as active communication, resource procurement, and staff development. They also pointed out that meaningful change took place within the confines of a larger organization with competing needs and that change takes time.

In this regard, the most senior superintendent, Superintendent C stated his belief that:

...no one is going to make a change that is a permanent change in less than five years because you have to be committed to the district and the people you are working with have to see that you are committed to that.

Superintendent B noted that change is not a matter of life or death and that “You can’t rush change. The quicker you move, the more chance you have of making mistakes.” He also pointed out, “Too quick, unthought, unresearched decisions are not needed. What one needs to do is take time.” Consistently, in another interview, Superintendent B noted that it was important when implementing organizational change, “...to proceed slowly. I don’t mean at a snail’s pace, but if you move in any direction, it is best to proceed slowly.”

Superintendent A took another tack on this issue of time. She talks about never

forcing the Board into real quick decisions. “The bigger the decision, the longer the timeline.” She also talked about publishing a decision-making timeline to all involved, whether that be the teaching staff or the entire community. Superintendent A noted, “People gain a great deal of comfort in knowing what steps you’re going to go through.”

She also talked about a timing issue; that is, looking at where a particular change effort fits into the overall system and its priority status. Another angle she discussed was the need to be “opportunistic.” Here, she referred to change as occurring in bits and starts “because you’re holding off until you see the perfect opportunity to change.”

Also, Superintendent A was the most overt in talking about long-range planning, predicting what looked to be some big issues organizationally and then bringing in people to work through the possible changes while you still have time to work on them. Each of the superintendents talked about planning for the future. They each talked about the need to take a long-range view of where their districts were heading.

In addressing the varying barriers to their organizational changes, the superintendents employed a range of strategies. First and foremost, they saw barriers as a natural part of the process and nothing more than something to work through and around. They took a proactive stance when they addressed the barriers. These strategies included reallocating monies to address priorities, securing grants to support desired changes, affirming that people did not need to be involved in every district-sponsored professional development activity, and creating an individualized professional development program.

Superintendents A, B, and C also opened up their districts’ organization to allow greater flexibility so that others could work around their barriers. The element of time was mentioned and in each district of Superintendents A, B, and C, substitutes were used to release teachers to periodically work on issues. In Superintendents’ A and C districts, time during the summer for staff development activities was also utilized.

Superintendents A, B, and C shared a variety of strategies they paid attention to

when rallying the “troops” together in any organizational change effort. Superintendent A summarized it best when she talked about,

...giving people the where-with-all so that they can be good participants in the change process.... So you develop avenues for getting their input. You provide them with training. You allow them to do visitations. You make sure they have released time to consult with one another.

What seemed to be important to each of the superintendents was the process that was involved in working through organizational change. There was less emphasis on knowing all the details up front but having a sense of direction in which the organization was moving. Superintendent C noted:

All I want to do is make sure the process is in place. Once the process is in place, I can assure you it (the district) will be different. But what the difference will be, I don't know.

Superintendent B talked about change being a process. He described that process within his district as directly involving his Central Office administrative team. He also went on to elaborate more of the process that is used within his district:

A system-wide change is one that is studied by a lot of people, a lot of involvement, and a lot of interaction. And when they are done with that, hopefully, they have come to a conclusion that is best for everybody. And you have to rely on that taking place.

Superintendent A also described change as a process that takes place within the district. She focused on the issue of strategic planning and how that process facilitated the change process. She talked about the input and influences from staff, parents, and community members that get incorporated into the finalized strategic planning document leading to district-wide initiatives. She also spoke of the need for continuous improvement that is reflected in the district's activities.

Within the concepts of appropriate timing, the time needed to make meaningful changes, along with the idea of change as a process, the superintendents also talked about the need to be supportive with resources and the need for communication and staff development. Resources

related to such concepts of financial resources, human resources, and time resources. Some of these were internal and others were external.

Superintendent C utilized external resources through his readings, conference participation, and community input as had Superintendents A and B. Each felt it was important to work with the external environment. Superintendent C also solicited partnerships so as to financially support the proposed organizational changes. He noted that funding sources do not readily give money to a “lily-white suburban community. They think you can’t make change.” He linked his district with two Chicago school communities to get started, noting “So, by the three of us going together, they provided what we didn’t have and we provided some things that they didn’t have.”

In planning for the future, he also secured \$5 million in working cash bonds, about half of which are planned for technology purchases. Each of the districts looked to grants as another way to financially support organizational changes. Each of the superintendents talked about the need for communication within the change process. Superintendent A talked about the different ways in which she communicates to the Board, the staff, and the community. The superintendents talked most about keeping their Boards of Education well informed. She as well as the others communicate with board members on a weekly basis. She and Superintendent B do this through a weekly Superintendent’s newsletter. It highlights issues and alerts the Board to any concerns that may have arisen through the week. Superintendent C speaks to board members at the time of any issues or directly prior to Board meetings.

It was highly important for the superintendents to keep their Boards apprised of the need for change and the implementation of these changes. There was a proactive stance taken with planning three to six months to a year prior to the need for the change. Superintendent B felt it was his responsibility to have the Board as well informed as they possibly could in order that they make the best decisions for their community. Superintendent A felt that the Board needed to have time to digest the information and worked on avoiding surprises for the Board. She also kept the Board informed through monthly planning meetings at which staff showcased changes occurring



during the past year. Superintendent B also sent out a weekly Superintendent's letter detailing what parts of the letter are 1) must reading, 2) general information about events in the schools, and 3) information that may be of interest to Board members. Reports from the varying Assistant Superintendents kept both the Superintendent and the Board apprised of any upcoming needs or changes. Superintendent C worked with Board representation on the various task forces and forums keeping the Board as a whole informed about Education 2000 and its organizational changes.

Through their varying strategic planning activities, each Superintendent brought to the Board for their acceptance the organizational changes proposed to occur during the forthcoming years. Each wanted their Boards to be kept informed of the organizational changes proposed, the rationale of these, and highly involved in the process. Boards were asked to formally accept the changes, putting their stamp of approval on the varying activities. The superintendents actively sought Board support for any proposed organizational changes.

In dealing with the staff and the community, Superintendent A wrote a weekly column in the employee newsletter. She used that column to highlight any changes that have occurred or that will be occurring in the near future. She stated that through her choice of topics, she set the agenda. She had used her column to share information, encouraged people in their work, provided reinforcement, and reminded people of the district's direction and focus. Superintendent A had also put together Question and Answer sheets on topics of concern. She also provided communication through varying presentations both to staff and to the community. Still another communication avenue was her attendance at staff meetings whenever requested.

In that communication is two-way, the superintendents set up a variety of mechanisms to solicit input from varying groups--staff and community--regarding possible changes. With the administrative team, there were the regular administrative council meetings. Input was also secured through formal conversations during the evaluation process and through informal conversations throughout the year. Superintendent B worked at being highly visible in the buildings and talked regularly with his principals at their building sites, "on their turf," to keep abreast of the need

for change and the reception of currently implemented changes. Superintendent C used these mechanisms but also participated in the background in the Education 2000 forums, keeping an ever-watchful and listening presence.

With each of the superintendents subscribing to the importance of their role, themselves being aware of the need for organizational change, they utilized a variety of strategies to facilitate that role. They read extensively, including readings from both the education and the business worlds, such as American Demographics, The Futurist, Fortune, Business Week, Educational Leadership, daily newspapers, etc. They did not exclude themselves to reading only within the educational arena.

They sought ideas from a variety of sources, including having breakfast with business and community members, doing surveys, informal and formal conversations with varying publics, and their own continuing professional development. They also looked to data secured from their administrative team. Such data may include test scores, enrollment trends, parent concerns, etc. The superintendents also talked about the continuous improvement

In setting the stage for organizational change, the superintendents would gather data to “prime the pump” for any change efforts. Superintendent B talked about the importance of gathering such data and ensuring that it is correct, trusting that you have quality people collecting that information. He noted that a lot of work is done away from the table so that Board members have all the correct information, pointing out the implications for the district as a whole.

In Superintendent C’s case, he brought together representative teachers, administrators, and parents for a retreat where he shared information on world demographics and other trends occurring in the world. In this way, he felt he fulfilled part of his role as superintendent, commenting that,

I think you make people aware of things, help them to see for themselves where the holes are in your program and then encourage them to do whatever they can and just be as supportive as possible.

He further pointed out, “I can’t do it for them. I can’t go out there and spoonfeed them, but if I can make them aware, as I did, and then let them go. This thing has taken on a life of its own.” Superintendent C felt that he needed to create the need to change. Through the retreat and the accompanying notebook he created for each participant, he felt he created that need by asking participants, “Are our schools preparing the kids for this?”

Superintendent A developed the need for change by working to create a culture of professional development and the district working to create effective schools and using the research to better instructional practices. She also built up on ideas from the principals allowing buildings to follow up on some particular interest; thereby, developing an experience base from which other buildings within the district could learn. She also utilized the annual Strategic Planning session to set the agenda for change. If people had a particular interest, Superintendent A would encourage them to verbalize that at the Planning Session so that it would make its way to the record from which the annual district objectives would evolve.

### **Summary**

The superintendents had many experiences with different organizational changes, yet, in more ways there were more similarities than differences. The superintendents shared similar conceptualizations about organizational change. They respected the process that was necessary for organizational change to occur and be maintained.

The interviewed superintendents felt that organizational change was something that they were expected to do. It was just part of their job, but a very important part of their job. Their leadership was demonstrated in the ways they brought about change within their districts. They were committed to the vision of providing the best for their students within the means of their tax base. They cared about the districts in which they worked. They also knew what was important and what was not. They exercised leadership in their efforts at organizational change.

## CHAPTER V

### DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

#### **Discussion**

The purpose of this study was to examine superintendents recognized to be effective and their leadership in organizational change. This study examined the superintendents' conceptualizations of, factors to which superintendents paid attention, and their subsequent actions regarding the planning, implementation, and institutionalization of organizational change. The research questions attempted to solicit the thinking and actions of the interviewed superintendents' who were recognized by their colleagues as effective superintendents. The three research questions used to guide this study follow.

- (1) What conceptualizations of organizational change are held by effective superintendents?
- (2) What factors do effective superintendents pay attention to when working with the district staff and community on organizational change?
- (3) What actions do effective superintendents take to promote change within their organizations?

Through this study, it was hoped that the researcher and in turn, other administrators would glean learnings that would better further organizational change. In response to Research Question 1: What conceptualizations of organizational change are held by effective superintendents?, the interviewed superintendents shared some common themes. Superintendents A, B, and C all expressed their personal commitment to the organization and the larger purpose of attaining student achievement. These superintendents lived their district's mission statements. The

superintendents each expressed the need for organizational change in the larger context of society, its needs, and the constantly changing environment. Yesterday's education which met the needs of an Industrial Society was no longer adequate for students living in an Information Age. The interviewed superintendents saw that the needs for change primarily came from their desire for the district to live up to the expectations of their mission statements and to let student needs become the impetus for organizational change. Ideas for organizational change came from a multitude of sources, both internal and external. The superintendents worked to keep abreast of internal and external changes through formal and informal meetings with district staff, parents, and community. They kept abreast of external impacts through their participation in community and other external activities.

All the interviewed superintendents took a panoramic view of any proposed changes, examining the changes for how they would fit into the existing structures and how resources would be allocated or reallocated. These superintendents were strategic, looking at the big picture of what else was going on in the organization and how a valued organizational change could be leveraged with other mechanisms within their district. In the case of District C, the organizational change of Education 2000 was the umbrella under which any other organizational efforts had to fit. There was an alignment of the organization and its resources.

These superintendents did not worry about the minute details of the desired change but how the proposed change would meet their district's mission of student achievement. The proposed changes were broad-based with a framework established but in anticipation that staff and community input would flesh out the details. The superintendents, although they may have had others directly involved in pulling the changes together, did monitor the progress of any major organizational change effort. They recognized the importance of their visibility and modeling to any major organizational effort.

The interviewed superintendents expressed that change wasn't a set of techniques but more a process that heavily involved other people, took place over a period of time, and needed

to be supported by resources. The interviewed superintendents saw that organizational change with the participation of others facilitated the development of better ideas, involvement, and ownership. The interviewed superintendents went about the business of building consensus and building a critical mass. Critical resources were aligned in the direction of the change. They also had a sense that the process of change would have its bumps along the way and that not everyone would jump on board immediately in a new organizational effort but they accepted that as part of the process. They also accepted that conflict was an integral part of any significant organizational change, did what they could to minimize and manage the conflict, and developed a thick skin to offset some of the barbs and personal comments made about each of them and of the organizational change.

Time was a critical variable that these interviewed superintendents noted in a variety of ways. It was important to them that thought was given to the adoption and implementation of any proposed organizational change all along the way. They did not jump to meet everyone's wishes. Ideas had to have substance and depth to them and had to meet the needs of their students. They also knew that any adopted organizational change was going to take a period of time to plan, implement, and imbed within the structures of the district and they would be supporting the organizational change for the duration. The interviewed superintendents adjusted their timelines when they saw a need to slow down, or retreat and regroup when some organizational change would throw participants into a panic as Superintendent A related. But they did not waiver in their resolve to support and assist the organizational change.

Superintendents A, B, and C did not express the need to jump on every educational fad bandwagon. Again, the proposed change would only be accepted if it furthered their mission of student growth and development. The interviewed superintendents were far more interested in meaningful and lasting change, changes that would outlast their particular tenures, changes that would be imbedded and institutionalized within the district. For example, Superintendent C went so far as to note that he did not want Education 2000 to be acclaimed as

his change. He, as well as Superintendents A, B, and C all pointed out the need to develop a critical mass of people engaged in the change process as an important factor to institutionalize the change beyond the superintendent's tenure. The interviewed superintendents saw that shaping of the organizational change was done in a responsible manner when the change was worked through a variety of people.

The superintendents saw that mandated change was not a viable option for changes that they wanted to be lasting and had an impact on the education of students. Changes that were mandated from external entities, such as the Illinois State Board of Education, needed to have enough flexibility that facilitated the local environment to shape and adapt the mandates into meaningful experiences for students and staff. The superintendents, themselves, did not see mandating change for the sake of change as a meaningful activity for the district.

Superintendents A, B, and C each expressed the importance of the superintendent as being involved in the change process. They saw facilitating the change process as doing meaningful work in their roles as superintendents, using their unique talents, and meeting their responsibility of being the leader of the organization. Change was very much a part of who they were themselves and they saw their role as providing the stimulus and support for the organization to create and recreate itself to better meet the district's mission.

In their role as superintendent, they acted as one screen for all the proposed changes that impact daily on any organization. Each of these superintendents worked to create organizational change as a norm within their districts. They also acted as a catalyst to stimulate changes to meet the needs of students. They also made the Board of Education a heavy player and stakeholder in any organizational change effort through constant and continual communication with that body. In summary, they used their political skills, in the best context of those words, to bring about meaningful change.

Now, looking at Research Question II: What factors do superintendents pay attention to when working with the district on organizational change?, the superintendents shared the following

ideas. The superintendents paid attention to the "lay of the land" of their districts--its existing structures, history, and background of change within the district. The interviewed superintendents kept sight of other district initiatives already underway and how a particular organizational change would fit into the bigger picture.

They paid attention to the people that could facilitate the change because of their unique talents and maneuvered them into leadership positions within the district and the development of the organizational change. They paid attention to people and their level of discomfort. Superintendents A, B, and C honored their constituencies and the democratic and change processes.

The interviewed superintendents paid attention to the input, both positive and negative, for the insights that they provided. The superintendents worked on having a plan that could be expressed to the stakeholders in the organizational change. They watched the level of conflict that would arise from any proposed changes, sensing when to sit back and observe and when to act. They paid attention to the barriers, internal and external, that hindered a proposed organizational change from moving forward. They worked to keep the barriers balanced against the purposes of the proposed changes as well as exposing the barriers to light so that they could be more easily handled. The superintendents also stated there was a need to pay attention to the level of support they gave to people and to the change itself.

Research Question III: What actions do effective superintendents take to promote change within their organizations? The superintendents were leaders and active players in district organizational changes. They sought out information and input from various publics in order to first, then decided whether the proposed organizational change was one of value and consistent to the district's mission. Second, the input was used to move the district in a responsible fashion in shaping the organizational change in a compatible manner to the district's operation. Third, the superintendents saw their role as an active one in nurturing and supporting the organizational change through their visibility and resource allocations of people and resources.



They saw their role as a committed and constant communicator of the change to varying publics, including their boards of education. They proceeded with organizational changes with the backing and support of this body. As the changes were moving through the implementation process and conflict, these superintendents kept their Boards apprised of progress and/or difficulties.

The superintendents were strategic, leveraging and restructuring resources and structures to ease the road that any proposed organizational change would travel. They handled the political realities of school governance and the democratic process. They were able to see outside the "box" and create possibilities through their own creativity and flexibility. They listened to their publics, learning from the input they received and shaping other possible directions or paths to take. They were wedded to the larger vision and felt any number of roads could move both they and their organizations to achievement of their visions.

### **Conclusions**

In framing the conclusions of this study, Michael Fullan's work in the area of change as noted in the literature review, does much to capture the findings. Fullan (1993) discussed Eight Basic Lessons of the New Paradigm of Change (p. 21), responding to the demands of the chaotic, turbulent, "whitewater" characteristics of today's organizational change. Using those Eight Lessons as a backdrop to frame the conclusions, parallels between his work and those of the three selected superintendents were drawn. His work reflects the findings from the selected superintendents in their conceptualizations of organizational change, the factors to which they paid attention in working through organizational changes, and the actions they took in promoting organizational changes.

Through Lesson 1: You Can't Mandate What Matters, the superintendents were all aware that for change to be meaningful and successfully integrated into their respective districts, they had to involve others in the process. They each conceptualized a process of change that would involve the implementors and help those individuals develop the meaning and the shape of the change that

was to take place. The organizational change could not be easily mandated. Without the process of involvement and support, the change was only a token and not one that was fully integrated into the district. Externally initiated mandates were shaped to meet the mandate criteria and also were shaped to mesh with the district structures, staff, and community.

Lesson 2: Change Is a Journey, Not a Blueprint was addressed by the interviewed superintendents who kept an open mind and were flexible about the organizational changes that were to take place. Through their varying experiences, they indicated it was more important to win the war and lose a minor battle. The interviewed superintendents did not purport to have all the answers when they began a change effort; in fact, sometimes details may not have been their forte. They knew that the change would also be shaped by the process and they were comfortable with that idea.

They also presented the idea that they as superintendents had to have a thicker skin and not take changes personally. They were also looking at the bigger picture and cared for the organization to function as a whole.

In Fullan's next lesson in the new paradigm of change, Lesson 3: Problems Are Our Friends, the interviewed superintendents noted that conflict was an accepted part of the process leading to organizational change. They appeared, from their remarks, not to shy from and avoid conflict, but to confront and manage conflict. They brought conflict out in the open so that they could move the organization forward and get past the sticking points. That was part of their job.

This lesson, Lesson 4: Vision and Strategic Planning Come Later, was not developed directly by these superintendents in their remarks. Indirectly, the superintendents discussed their strategic planning occurring on an annual basis so that they may adjust for the occurrences, the current environment, and available resources. They spoke many times of developing the ownership and the staff creating the organizational change to fit the structures of the district itself. However, on a global level, the superintendents carried an overriding vision of what they wanted the

district to be and to become. Students were the overriding variable in this equation. The interviewed superintendents did not always have all the details at the beginning and felt much of that would be worked out through the change process of soliciting input and resources to develop any change.

The concepts developed in Lesson 5: Individualism and Collectivism Must Have Equal Power did not evolve overtly through the interviews.

The concepts portrayed in Lesson 6: Neither Centralization Nor Decentralization Works did evolve through the superintendents' discussions about top-down and bottom-up strategies being both necessary for organizational change to occur. Collaborative or cooperative efforts toward change were valued. The superintendents expressed the benefits from such organizational change efforts; namely, changes that worked and integrated themselves fully into the district and among staff as well as changes that "fit" the nuances of the district and staff.

The interviewed superintendents practiced Lesson 7: Connection with the Wider Environment is Critical in several ways. First, they themselves took a global view when looking at their districts. They, themselves, were readers and kept up with what was going on in the larger world society. The interviewed superintendents were involved in shaping more participation by staff so that teachers' roles were becoming more expansive. Teachers were a significant part of the process, consulted and sometimes, leading the process. The role of the teacher was being shaped to extend beyond their roles with individual students to participants in the shaping and creating of change within the district.

Using Lesson 8: Every Person Is a Change Agent, each interviewed superintendent looked to others for their insights and expertise as changes were being proposed. They were not driven by ego to be the only "expert" as would occur under the previous hierarchical model. From their comments, they appeared to be superintendents flexing to the needs of the current environments. They kept the responsibilities of the office not delegating those away. They reflected ultimately that it was their role to facilitate effective organizational change. However, they shared that education

was more complex today and that they must get the perspectives of and expertise of others. Superintendents A, B, and C each felt that their districts could only become better if they solicited assistance from their varying publics. They did not, however, abandon their responsibilities to those publics.

### **Summary**

The interviewed superintendents were selected for their effectiveness in their roles as superintendents. Through receipt of various recognitions and continued contract renewals, these superintendents were regarded as effective superintendents in their organizations.

These superintendents, each from a different decade, were superintendents that were utilizing most of the lessons that Michael Fullan described in the new paradigm of change. Superintendent C, the most senior in experience and age of the interviewed superintendents, utilized the ideas contained in Fullan's Lessons as much as the other two, less senior superintendents. It appeared that these selected, effective superintendents were able to flex to the needs of the times and their organizations. Their leadership styles in promoting and facilitating organizational change were remarkably similar, even though each was quite different in other characteristics.

### **Recommendations**

Based on this study, the following recommendations should be considered by superintendents, other administrators, and teachers directly involved and responsible for organizational change. the researcher will refer to these many individuals as organizational leaders.

1) Selection of changes to be implemented must be considered in light of the rest of the organization. This is necessary in light of limited resources of money, time, and energy to actually implement the changes. District organizational changes should not be pursued lightly because there is a price of time, energy, and other resources to pay if indeed there is to be meaningful change.

2) Superintendents, administrators, and others responsible for organizational change must be sensitive to the democratic process. Without continual participation of the stakeholders,

most changes are doomed to failure, either through not surviving the conflicts that evolve as participants work out the meaning of the organizational change or the organizational change may be easily accepted, paid lip service to, but lost after the pressure or the superintendent is gone. The process allows for participants to define and integrate the changes, making the changes meaningful and lasting.

3) Meaningful organizational change takes time. Patience and perseverance must be the hallmark qualities the organizational leader must exercise. Organizational leaders must appraise their boards, staffs, and community that time is a critical element. It is far too easy to abandon efforts when quick fixes and miracles are expected. If short-term rewards are expected, the leader is in for a surprise. There is the challenge by fire of all organizational changes that the leader must endure.

4) The organizational leader must be strategic. Organizational change leaders should understand their organizations well enough to work on alignment and piggybacking of changes to maximize the use of resources.

5) The organizational leader must learn the lessons of the "new paradigm of change." Organizational change is here to stay. Fullan's lessons serve as a good reference to manage the uncharted waters of continuous change, particularly in what has sometimes been considered the most unchanging institution in society, our schools.

## Appendix A

### Letter Inviting Superintendent Participation

November, 1993

Dear Superintendent:

I wish to thank you for your participation in this study. As stated via our telephone conversation, I am a doctoral student at Loyola University - Chicago working on a dissertation looking at the leadership of a superintendent in facilitating organizational change(s) within his/her school district.

Organizational changes for the purpose of this study are those changes that are larger than those changes taking place in one classroom; they are changes that impact people in doing business in some different manner. They may also be structural changes within the district. Some examples of organizational change would be: the inclusion of special education children within the mainstream classroom, policy or contractual changes such as extended year staff development programs, etc.

As discussed, the structure of your involvement will involve three to four approximately one-hour interviews to discuss your insights, views, and reflections of organizational changes having taken place within your district within the past five years and your role with those changes. These sessions would be audiotaped and transcribed for your later review and comment. The comments and notes will be kept strictly confidential. Your identity in this study will be masked so that you will not be recognized as a participant and your anonymity will be maintained. You were selected for this study based on the recognition by your colleagues, board and/or staff that you are an effective superintendent based on your receipt of the Illinois Those Who Excel award or selection as Illinois Superintendent of the Year. I request that you share any relevant documents related to that recognition.

For the purposes of this study, I request that you share relevant documents leading to and being part of the organizational changes taking place to amplify the activities and thinking involved in the organizational changes discussed. As a third component of this study, I am requesting the names of two or more individuals who are aware of the organizational changes and your role in such. I am asking that I be permitted to interview such individuals as to their perceptions of the organizational changes and your role in those changes that have taken place. Their anonymity in the study will also be guaranteed and their remarks will also be transcribed for later review.

I very much appreciate your time and energy that you have consented to give to this study. After the dissertation is completed, I will provide you with a brief summary of the findings. If there are any questions, please feel free to call me at 530-6210.

Sincerely,  
Theresa M. Sak

**Appendix B****Interview Schedule - Superintendents**

October 28, 1993	Superintendent G - Pilot
November 4, 1993	Superintendent A
November 10, 1993	Superintendent B
November 22, 1993	Superintendent C
November 30, 1993	Superintendent A
December 6, 1993	Superintendent B
December 9, 1993	Superintendent C
December 20, 1993	Superintendent A
December 22, 1993	Superintendent C
December 27, 1993	Superintendent B



## **Appendix C**

### **Questions - Superintendents**

1. Please share with me your professional background.
2. Describe the organization in which you work as a superintendent.
3. Describe an organizational change or changes you have instituted or facilitated within the past five years that you have felt has been successful.
4. Why do you want to initiate organizational change; what is the purpose? Why are organizational changes needed?
5. What capacity did the organization have for organizational change? What were some of the supports? What were some of the barriers?
6. Identify the issues and the barriers or people in the organization that caused the most difficulty. What did you do?
7. How would you describe your leadership style as it relates to organizational change?
8. In order to be effective in this organizational change, what did you have to change yourself, if anything?
9. In the change effort you described, what would you differently the next time around? What kinds of things would you do again and why?
10. If something went differently than you anticipated, how was it different and why do you think that happened?
11. When do you feel that in your role of superintendent that you best initiate or facilitate change?
12. What lessons have you learned from your efforts with change efforts within the past five years?
13. Who are the beneficiaries of this change effort?
14. Who did you bring into the change effort and why?

**Questions - Superintendents - Continued**

15. Let's review the previous transcript. Were there any points from that interview that you would like to clarify or expand upon?
16. What factors do you pay attention to when rallying the troops for organizational change?
17. In what way do you involve the Board? the staff? the community?
18. The Board of Education is a lay board and not always familiar with the educational issue of today. What do you do to keep the Board apprised of all that is going on, particularly, those items that have potential to become controversial issues?
19. How do you work with seven board members who may each have their own agenda and as a group may want to go in seven different directions?
20. We talked about some of the skills necessary in organizational change. Last time you mentioned \_\_\_\_\_. What others do you see as necessary in your role as superintendent in the pursuit of organizational change?
21. Why, in your role as superintendent, do you advocate organizational change?
22. What is the mission of this district?
23. What activities have you done to gain and establish trust with each of your audiences?
24. The whole process of organizational change causes conflict of one sort or another. What do you do to deal with that conflict?
25. As point person for the organization, what do you find the easiest about organizational change? The most difficult?
26. When you are making an organizational change and it has parts of the community or staff upset, how do you work with the Board to achieve that organizational change?
27. You mentioned \_\_\_\_\_ last time. Are there other ways or strategies you implement when rallying the troops for organizational change?

### **Questions - Superintendent - Continued**

28. What are your guiding principles as you engage in organizational change? What principles do you live by as you initiate and implement organizational change?
29. What is the legacy you wish to leave the district?
30. In what ways do you work with the larger community in advancing organizational change within your district?
31. How do you view organizational change? Describe how you view change.
32. Two words can describe organizational change - chaotic or elegant - which do you see it as? Why?
33. From whom or where do you get your agenda for organizational change?
34. When starting an organizational change, what are the questions you ask yourself before engaging in the endeavor?
35. In what ways or instances or in what aspects of organizational change do you feel you must act courageously? Why?
36. What do you see as some of the restrictions or issues that the school district both currently in the short term? And in the long term--years ahead?
37. What lessons have you learned and would you pass on to another person from your efforts with varying change efforts. What lessons are uppermost in your mind?
38. In organizational change, do you see top down or bottom up changes as more advantageous than another?
39. What do you see as internal and external influences on the schools or on the school district as a whole?
40. What data do you seek out and use to determine movement within the organization or the need for change?
41. In some current research, it states that teachers as a group do not like change. Yet schools are impacted significantly by changes in society, economics, etc. How do you

**Questions - Superintendents - Continued**

in your role as superintendent assist the teachers in dealing with organizational change?

42. In what ways do you seek out personal and professional development for yourself?

43. What are some principles of leadership that you exercise in focusing on organizational

## Appendix D

## Contact Summary Form - Sample

Contact Type - Interview

### Site - District A

Contact Date - November 4, 1993

Today's Date - November 4, 1993

1. Main issues/themes that struck me in this contact -
2. Summarize information secured from this interview -
3. Any surprises, puzzles, interesting ideas/comments, etc. in this contact -
4. What questions might I consider asking in the next contact?

## **Appendix E**

### **Document Summary Form - Sample**

Site: District A

Document Number:

Date Received:

Name/Description of Document: Mission Statement - District A

Event with which this document is associated:

Summary of contents:

## **Appendix F**

### **Interview Schedule - Key Participants**

December 27, 1993	Key Participant A1
March 8, 1994	Key Participant A2
February 12, 1994	Key Participant B1
February 20, 1994	Key Participant B2
March 20, 27, 1994	Key Participant C1
April 4, 1994	Key Participant C2

## **Appendix G**

### **Questions - Key Participants**

1. What are some of the organizational changes that have occurred within the district within the past five years?
2. Do you see the state mandates as being organizational changes?
3. What do you see the strengths being of the Superintendent in facilitating organizational change in any one of those that you mentioned?
4. How has the Superintendent involved the district staff, Board, and/or community in organizational change besides those you already mentioned?
5. In what ways do you feel that the Superintendent communicates with the district staff, the Board, and with the community?
6. Are there other aspects of the process of organizational change that you feel to which the Superintendent pays attention?
7. Would you describe the Superintendent as a change agent?
8. Are there other ways in which the Superintendent has supported organizational change?
9. Can you share the process by which the mission statement in your district was developed?
10. \_\_\_\_\_ was mentioned as another organizational change. How did that evolve under the Superintendent's leadership?
11. As far as communication skills, in what way does the Superintendent work with (your group) and others as far as organizational change?
12. Do you feel that (your group) feel that they are well -informed? Can you list the ways in which the Superintendent communicates on organizational change?
13. Is there anything else about the Superintendent and his/her role in organizational change on which you would like to comment?



**Questions - Key Participants- Continued**

14. Where do you see the Superintendent getting the reasons, the data, or the information to move forward organizational changes?

## Appendix H

### Letter to External Auditor

January 23, 1994

XXXXXXX

Dear XXXXX,

Thank you for agreeing to serve as an auditor for the qualitative data collected for my dissertation tentatively titled, **LEADERSHIP AND ORGANIZATIONAL CHANGE: AN EXAMINATION OF THREE SUPERINTENDENTS AND THEIR VIEWPOINTS**.

Enclosed you will find random selections from two interviews that have been transcribed. You will also find a set of category descriptors and codes which have emerged from the data collected as well as a draft of Chapter I. The procedure for auditing the transcripts follow.

1. As you review the transcripts, underline the lines that fit the varying category descriptors I have provided. Please indicate either in the right margin or above the lines, the particular category code.
2. Not every line will be marked -- use your best judgment based on the descriptors.
3. If you find something striking but no code exists for that detail, please indicate this with your idea for a possible category.
4. I will then crossmatch your coding against that which I have already completed.
5. Please call when you are finished and I will arrange for picking up the audited transcripts.

I appreciate your assistance with this as I know you are familiar with the coding process. If you have any questions at all, please call me at work or at home. Again, thank you for your support and effort in this project.

Sincerely,  
Theresa M. Sak

## Appendix I

### Initial Codes Categorizing Superintendent Remarks

DEFINITION OF THE SITUATION - HOW PEOPLE DEFINE THE SETTING (Bogdan & Biklen, 1982 in Miles & Huberman, 1984, p.57)

<u>Code</u>	<u>Description - Definition/Attributes</u>
B	BACKGROUND - Background of the organizational change, setting, etc.
BAR	BARRIERS - Barriers to the initiation, implementation of change or change strategies.
CH	CHANGES - Organizational changes taking place or have taken place within the organization.
CS	CURRENT STRENGTHS - Current strengths that the organization currently holds and is institutionalized.
DIS	DISSATISFIERS - Activities, ideas, etc. that exist within the current environment that lead to people wanting to change.
MS	MISSION STATEMENT - Mission statement of the school district.
S	STUDENTS - Students within that organization or within a larger context.
ST	STAKEHOLDERS - Individuals who have an interest in organizational changes; i.e., parents, community, teachers, etc.
SUP	SUPPORTS - Supporting activities, ideas, people in the organizational change.
T	TOOLS - Tools used to facilitate organizational change.

**Initial Codes Categorizing Superintendent Remarks - Continued**

PROCESS: SEQUENCES, FLOW, CHANGE OVER TIME (Bogdan & Biklen, 1982 in Miles & Huberman, 1984, p. 57)

<u>Code</u>	<u>Description - Definition/Attributes</u>
BEN	BENEFITS - Benefits of organizational change
CP	CHANGE PROCESS - Activities related to the organizational change(s) taking place.
F	FUTURE - Examining the future.
NC	NEED FOR CHANGE - The reasons behind the organizational changes.
PR	PROCESS - The process enabling organizational change.
SD	STAFF DEVELOPMENT - Staff Development within the organization.
TI	TIMELINE - Discussions that involve creating or working with a timeline.
ACTIVITIES - ACTION IN A SETTING OF MORE MAJOR DURATION--DAYS, WEEKS, MONTHS--CONSTITUTING SIGNIFICANT ELEMENTS OF PEOPLE'S INVOLVEMENT (Lofland, 1971 in Miles & Huberman, 1984, p. 57)	
CC	CURRICULUM CYCLE - A cycle of a stated period of years during which various subject matter areas are reviewed.
PUZ	PUZZLES - Activities or actions that may strike one as puzzling.
RES	RESOURCES - The varying resources of personnel, money, and time.
SUR	SURPRISES - Activities or actions that may strike one as surprising.

**Initial Codes Categorizing Superintendent Remarks - Continued**

PERSPECTIVES - WAYS OF THINKING, ORIENTATION (Bodgan & Biklen, 1982 in Miles & Huberman, 1984, p. 57)

C	CONCEPT - A particular thought or idea.
CA	CHANGE AGENT - Acting in the role of initiating and implementing change.
CFLT	CONFLICT - The activities where people disagree.
CR	CRITICAL COMPONENT - A component that is critical to the facilitation of some particular action or activities.
L	LEADERSHIP - The thoughts/actions of the superintendent when working in their role as superintendent.
M	MODEL - Models of thinking.
MA	MATCH - A match between the organization and the superintendent.
N	NORMS - The usual way of doing business or thinking within an organization.
PR	PRIDE - Feeling within the superintendent, organization.
PS	PARADIGM SHIFT - A shift in thinking from the norm.
TH	THINKING - Thinking of the superintendent.

METAPHORS/ANALOGIES - LITERARY COMBINATIONS RELATING ONE OBJECT/ IDEA/EVENT TO ANOTHER (Lakoff & Johnson, 1980, p. 5)

AN	ANALOGIES
MET	METAPHORS

**Initial Codes Categorizing Superintendent Remarks - Continued**

PARTICIPANTS, RELATIONSHIPS, AND STRUCTURES (Lofland, 1971 in Miles & Huberman, 1984, p.57)

ADM	ADMINISTRATION - Those participants considered to be administrators - principals, central office personnel, etc.
BD	BOARD OF EDUCATION - In Illinois, 7 community members that are elected by the community and serve as a decision-making body.
P	PERSONNEL - Personnel includes all employed staff.
STRC	STRUCTURES - Official and unofficial structures.

WAYS OF THINKING ABOUT PEOPLE/OBJECTS - MORE INDEPTH WAYS OF THINKING AND ORIENTATION (Bogdan & Biklen, 1982 in Miles & Huberman, p. 57)

BE	BELIEFS - a tenet or body of tenets that are held by an individual or group.
CMT	COMMITMENT - The way in which the superintendent demonstrates commitment for the organizational change.
CONF	CONFIDENCE - The degree of confidence exhibited by the superintendent.
FL	FLEXIBILITY - Flexibility in thought and action.
INVS	INVOLVEMENT - Involvement by the superintendent.
LE	LEARNINGS - The ideas gained through experiences by the superintendents.
PD	PERSONAL DEVELOPMENT - The approach to personal development by the superintendents.

**Initial Codes Categorizing Superintendent Remarks - Continued**

PL	PLANNING - Ways in which each superintendent/district plan for the organization.
PRIN	PRINCIPLES.
SEN	SENSE OF WHAT TO DO/NOT TO DO - Sense of what actions will have an impact in the forward movement of change.
UCP	UNDERSTANDING THE CHANGE PROCESS - The superintendents' understandings of the change process.
STRATEGIES - WAYS OF ACCOMPLISHING THINGS (Bogdan & Biklen, 1982 in Miles & Huberman, 1984, p. 57)	
CB	CONSENSUS BUILDING.
COM	COMMUNICATION.
CON	CONTRACT.
STR	STRATEGIES.
STRBAR	STRATEGIES TO BARRIERS.

## Appendix J

### Coding in Database Format - Sample

WHO: J WHEN: 2 CODE: N

It has changed administratively because we are constantly working professionally to develop a better administrative team. So, we are always in a state of change.

WHO: J WHEN: 2 CODE: N

So, we are always in a mode of doing something. It isn't...no one ever sits back and says what do you think we should discuss at this committee. Because we have a set standard...in January we are going to discuss this and February we are going to discuss this and March we are going to discuss this and April we are going to discuss this. In January, February, you know that you have got to deal with employment or the lack of employment, because that Board meeting in March you are going to make that decision 1- 2-3. So, you know what January and February are going to be in the school system.

WHO: J WHEN: 2 CODE: N

Not only do we have that board-wise, I also have one for administrators...there are things that we'll discuss at our administrative meetings. Every administrative meeting has a set agenda and we go through the agenda and actually we go through the agenda rather quickly because we all know those are things that are essential and have to be covered and then we do our own things. And things come out of that. An administrative meeting has a recorder and the recorder is a different administrator all the time and it is his or her responsibility to get those notes out by the end of the week. So, we only meet twice a month. So, that's how things come about.

WHO: J WHEN: 2 CODE: N

I never rate myself or rate my district to the next district. I just when it comes to change, change in my district is forced upon you, you have to change, or you are either going to lead, follow or get the hell out of the way in my district, because you are going to get run over.

WHO: J WHEN: 2 CODE: N

You have got to take that in stride. Just like the guy moving boxes from one warehouse to another. That is his job. He has got to move them. So he takes it in stride, today I am going to move boxes. Superintendent has to say today I am going to deal with conflict sometime during the day and I am not going to go home a kick the dog and beat the kids or eat a whole truck with cake, I'm just going to do that. I'm not going to go home and drink, I'm...this is



### **Coding in Database Format - Sample**

what I do. And if I can't do this then I need to do something else.

WHO: J WHEN: 3 CODE: N

It is just something that you do. If you movement and direction, you have players. All those players know they are involved and everybody pitches in and takes a portion of it, and as I mentioned to you earlier, I take a large portion of it, I take a lot of ownership in all the change that takes place. So, I view organizational change as just a matter of fact thing that takes place in this district. It is no big thing.

WHO: J WHEN: 3 CODE: N

I mean we don't sit down and say wow we are going to have a big change. That's not exactly what it is. Nobody jumps up and says I have had this great idea for change, things move on and take place.

CODE: N

WHO: J WHEN: 3 CODE: N

There isn't an administrator in this district that stands in awe of changes. There isn't an administrator in this district that says "oh my gosh, we've got to go through this terrible thing. This is something that we all do. It is part of our jobs.

## Appendix K

### Final Codes Categorizing Superintendent Remarks

RESEARCH QUESTION I: What conceptualizations of organizational change are held by "effective" superintendents?

<u>Code</u>	<u>Description - Definition/Attributes</u>
AT	ATTITUDE - A mental position or feeling with regard to a fact or state of the superintendents.
BE	BELIEFS - a tenet or body of tenets that are held by an individual or group.
BEN	BENEFITS - Benefits of organizational change.
CFLT	CONFLICT - The activities where people disagree.
CH	CHANGES - Organizational changes taking place or have taken place within the organization.
INV	INVOLVEMENT - Involvement by the superintendent and/or by others associated with the change.
LE	LEARNINGS - The ideas gained through experiences by the superintendent.
N	NORMS - The general way of doing business.
NC	NEED FOR CHANGE - The reasons behind the organizational changes.
PL	PLANNING - Ways in which each superintendent/district plan for the organization.
PRIN	PRINCIPLES.

**Final Codes Categorizing Superintendent Remarks - Continued**

<u>Code</u>	<u>Description - Definition/Attributes</u>
UCP	UNDERSTANDING THE CHANGE PROCESS - The superintendents' understandings of the change process.
UO	UNDERSTANDING ORGANIZATIONS - The superintendents' under- of organizations.
RESEARCH QUESTION II: What factors do "effective" superintendents pay attention to when working with the district staff and community on organizational change?	
COM	COMMUNICATION.
PR	PROCESS - The process enabling organizational change.
RES	RESOURCES - The varying resources of personnel, money, and time.
SD	STAFF DEVELOPMENT - Staff Development within the organization.
TI	TIME - Discussions that involve creating or working with time.
RESEARCH QUESTION III: What actions do "effective" superintendents take to pro mote change within their organizations?	
B	BACKGROUND - Background of the organizational change, setting, etc.
BAR	BARRIERS - Barriers to the initiation, implementation of change or change strategies.
BD	BOARD OF EDUCATION - In Illinois, 7 community members that are elected by the community and serve as a decision-making body.
N	NORMS - The usual way of doing business or thinking within an organization.

**Final Codes Categorizing Superintendent Remarks - Continued**

STR	STRATEGIES - Strategies used to initiate or implement organizational change.
STRBAR	STRATEGIES TO BARRIERS - Strategies superintendents used to work with barriers to organizational change.
STRC	STRUCTURES - Official and unofficial structures

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